

# **The Development and Embedding of new knowledge and practice in a profession**

Thesis submitted in partial fulfilment of the requirements for the degree of

Doctor of Philosophy

by published works.

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# Volume 1

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**THE DEVELOPMENT AND EMBEDDING OF NEW KNOWLEDGE AND PRACTICE IN A PROFESSION**

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## **Abstract**

This submission is built on 39 papers produced between 1987 and 1997. Some of these together with papers in the appendices were produced during research projects or for particular audiences which, in some cases, meant they were for restricted circulation only. Both types of paper are included to show progression of ideas over time and to allow tracking of ideas to show how local innovations can have national impact and can become embedded in the education system. Both types of paper explore what were at the time, new or problematic dimensions of professional knowledge in the areas of: educational evaluation, development planning, and latterly the application of information and communication technology in schools and classrooms. Whilst some ideas presented were new at the time other papers refocused ideas to meet the professional development needs of particular sectors in education. This was done as a deliberate strategy to ensure wide dissemination of findings and to encourage debate of new ideas. For this reason, the necessity for academics to write papers for different audiences is central to the discussion about how new professional knowledge might become embedded in the professional knowledge base. The theoretical and philosophical framework for much of the work in this submission is derived from that proposed by those who espoused the notion of democratic evaluation (e.g. MacDonald, 1976; Simons, 1984, 1987, 1995) whose concern for linking evaluation with practice is well documented as part of the teacher-researcher movement stimulated by Stenhouse, (1975). The early papers (Papers 1, 2, 6 and Leask 1988c, d, e) were particularly influenced by this democratic, collaborative, pro-active approach to investigating practice.



The exposition of 35,000 words shows how the knowledge and experience gained on a range of projects led to the development of a view about the professional accountability of researchers in Higher Education Institutions (HEIs) and a model for embedding change in the education system. The exposition also provides a critique of these papers and the work on which they are based by examining the philosophical foundations supporting it and the arguments for opposing what is acknowledged to be a rationalist model for change.

All of the papers are built on the outcomes of a series of research and development projects in which the candidate participated or which the candidate led over the period 1985 to the present time: such as the Manpower Services Commission, Enfield TVEI evaluation 1983-1988 (Papers 1 & 6); the Department of Education and Science funded School Development Plans Project based at Cambridge (1989-1990) (Appendices A, E & F; Papers 7,8, 9 & 13); Recruitment of Science Teachers from Ethnic Minorities (1995-1996) Leask, Turner & Turner (1995, 1996); evaluation of Project Connect (1995-1996) (Appendix B); *newImages* Projects 1996-1997; TeacherNet UK (1996 ongoing), (Papers 37, 39 and Appendix C) and European School Net Project (1997 ongoing). I also have been fortunate to have had a number of travelling scholarships which have enabled me to study other education systems at first hand, e.g. Leask (1992), and the understanding gained from these comparative studies has also influenced the development of the model.

In the exposition, the moral and professional responsibility of researchers to engage in widespread dissemination of findings and consequent development and change is debated. Thi



submission identifies conditions which support the embedding in the professional knowledge base of new knowledge and practice resulting from research findings which have whole system application. The responsibility of HEI researchers in the process of change is discussed.

## Overview

The papers which form this submission spanning the period 1987 - 1997 are based on empirical research carried out from 1984 onwards with some based on historical research reaching back to the beginning of the century and beyond.

These papers, together with this exposition, document, discuss and analyse trends in whole school evaluation and planning processes and provide an assessment of how such processes have become to a considerable extent, embedded in the professional knowledge base. Through this analysis, conditions which seem to support whole system change based on good practice in schools, are identified and their application to a new project, the TeacherNet initiative, is considered.

The decade in which the papers were published began nine years after the election of the Thatcher-led Conservative Government and ends in December 1997 with a 'new Labour' government having been in power for six months. These factors are particularly significant as the philosophy of the Conservative Government forced society including intellectuals and educators to work in a culture where obeisance to the values of free market forces, competition and individualism was expected (AMA, 1993, gives a detailed explanation of the 1993 Act for example; Maclure, 1992, as well as Flude and Hammer, 1990, do the same for the 1988 Act). The concerns addressed in a number of these papers directly relate to aspects of the political agenda of the period, (e.g. value for money, quality issues, performance indicators - Papers 3,

5, and 19; whole school planning - Papers 7, 8, 9, 11, 12, 13, 15, 28 and 36; school-based evaluation strategies - Papers 2, 4, 10, 17, 18, 26, 31 and 33). My concern with professionalism, professional development, professional knowledge and formation which developed out of this earlier work runs through these and is picked up specifically in Papers 16, 20, 21, 22, 23, 24, 25, 27, 28, 29, 34, and 35. Latterly, the papers are focused on professional development and the use of the Internet, e.g. Papers 30, 32, 37, 38 and 39. One set of papers in particular is concerned with recording development and achievements in the profession at a period when many developments, particularly in the area of professional development, were being swept aside by government interventionist policies (e.g. Papers 16, 17, 18, 19, 20, and 21).

Many writers in education (e.g. Hargreaves, 1994; Peters, 1995; Usher & Edwards, 1994; Hammersley, 1996) describe the period as one in which 'postmodernist' values became prevalent in society. These papers and this submission have been prepared by a candidate who acknowledges that she holds what some would consider out-dated modernist values (Wain, 1996) of, for example, community and duty, i.e. subservience of self interest to a loosely defined 'common good', and who has worked with others who have preserved these values in their work with teachers and schools over this period. Certain modernist values particularly related to rationalist approaches to change are apparent in the papers and the reasons for adopting these values are further examined in Section 5. In contrast to the previous government, the government now in power appears to be espousing modernist values (DFEE, 1997a).



Before it was elected, Barber, an adviser to the Labour opposition, described this government as needing to be ‘a missionary government’ (Barber, 1997) and this sort of reforming zeal seems to fit with modernist values, (Hargreaves, 1994; Hammersley, 1996). The tensions between postmodernist and modernist value stances and their implication for the emerging model linking research to development in order to embed change in the professional knowledge base are discussed in Section 5.

Conditions which support the embedding of new knowledge in the teaching profession are specifically discussed in this submission, and are derived from a meta-analysis of ways in which professional knowledge and practice in the linked processes of educational evaluation and development planning became embedded in the education system. I first became aware of models of change when I realised that the ‘bolt-on’ and highly political nature of the Technical Vocational Education Initiative (TVEI) initiative coupled with its linkage to a financial inducement model of change (Hopkins, 1985; Papers 18 & 19) meant that resistance to proposed changes from many in the teaching profession was automatic.

In working as the co-ordinator of the Enfield Local Education Authority (LEA) TVEI evaluation, I was responsible for training and working with teacher-evaluators in research projects which were cross-institutional. This led me to realise that professional tools for evaluation which were suitable for teachers to use in their daily practice and in reviewing departmental and whole school development were poorly

developed. As part of my role, dissemination of ideas for overcoming this lack became a priority. Papers 2, 4, 10, 26, 33, 36 & Leask 1988d, &e show examples of how I discharged this responsibility to different interest groups - newly qualified teachers (NQTs), new teachers, and middle managers.

As the project officer on the School Development Plans Project<sup>1</sup>, I experienced a sense of dissatisfaction with the dissemination strategy to be employed for the outcomes. The principal means of dissemination was through Papers 7, 8, 10 and 13 which were directed at headteachers, governors and LEA staff. Yet if, for example, new teachers were expected to acquire these professional tools and to take part in these processes, then outcomes had to be disseminated through media which were accessible to them.

Within a short time of the project finishing, school development planning was required of schools by the Inspectorate and some critics described it as a mechanistic imposition on schools (Ball, 1994b). Thus I felt the publishing of papers putting the 'empowerment' perspective (as found in the original data) was a moral imperative - part of my responsibility as a researcher to those who provided the data (see Papers 11 and 15, and 28 to 36). These papers are particularly focused on student teachers, newly qualified teachers, heads of department and governors. This experience prompted me to adopt the view that a researcher in the field of education has

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<sup>1</sup> The School Development Plans (SDP) Project was an eighteen month long DES funded research project into national practice in school development planning. It was based at the Cambridge Department of Education and the Cambridge Institute of Education. The author of this submission was the research officer for the project.



responsibilities to those who provide the data which go beyond the responsibilities espoused in, for example, codes of conduct for educational research, (e.g. BERA, 1992).

Teachers who had contributed the original data on development planning stressed the importance of the exercise being positive and collaborative in nature. It was their experience and advice which was taken over and used for mechanistic ends and as an inspection tool by the government in power. In developing my strategy for disseminating a message counter to the official message, I came to see how particular sorts of inputs in particular modes of the education system could be effective in supporting the embedding of change based on good practice in schools. Of course there are always problems of communication with any change as Schratz and Walker point out:

when research confronts action...information about any change generated travels through the system in different ways...at different speeds, some having a longer half-life than others. Most importantly, information will mutate as it passes from one person to another and it will do so in unpredictable ways. For managers to issue written statements in an attempt to clarify matters will exacerbate the problem because any written statement will hide as much or more than it reveals, especially in respect of imputed motives. Change in any organization will exemplify the problem of 'Chinese whispers'.

(Schratz & Walker, 1995, p.170)

As was clear from the School Development Plans Project, (Brennan, 1996; Fidler, 1997, p.97) misunderstandings about innovation are inevitable. That individuals perceive information differently cannot be helped - misunderstanding and mistakes are part of the change process. However, I suggest that these difficulties do not excuse

a researcher from a duty to disseminate findings widely. These values are further discussed in relation to the role of the researcher in the democratic paradigm in Section 1.

Through my ongoing work with school managers after the School Development Plans Project finished, I realised that in analysing the original data, I had missed commenting on the role of the middle manager. With hindsight this seems hard to understand, but at the time, the process was new for so many heads that the data collected focused on their immediate concerns. Evidence had been there on the role of the head of department but it had been slight. OFSTED still see middle managers as problematic (OFSTED, 1994, item 136). Publications by others have subsequently undertaken detailed examination of the role of the middle manager, e.g. Harris *et al* (1988); Levine and Legotte (1990) and Fullan (1992) as missing a focus on departmental effectiveness. Creemers (1992, and in Leask & Terrell, 1997) has furthered research in this area. In writing the text *Development Planning and School Improvement for Middle Managers* in 1995, I felt I finally discharged my professional obligations to the teachers who provided data for the School Development Plans Project. I also felt that the publication of this text remedied the deficiencies in the earlier work. I had by then made the findings available to governors, student teachers, newly qualified teachers and heads of department thus going beyond the senior managers who were the target of the official outcomes. As I wrote these different



papers my understanding of the conditions for embedding new knowledge in the professional knowledge base was becoming clearer. Stages in the process began to emerge as did key factors facilitating or inhibiting change. Close links between schools - LEAs - HEIs seemed to be particularly instrumental in supporting the wide dissemination of good practice developed from local innovation.

That same year, 1995, I found that I might be in a position to test out this emerging model for embedding change in the profession. Between 1984 and 1988, I had been working at the local level as a teacher and then as an advisory teacher, where development planning processes and school effective models of evaluation were being developed, and in 1989, I was asked to become the research officer for the SDP Project. In 1995 I found myself working again at the local level (but as a researcher) with teachers who were exploring the potential of information and communication technologies (ICT) to contribute to teaching and learning processes. The conditions for provoking whole system change seemed similar to those in 1989. It was clear then that this technology would bring far reaching changes to society and that education would have to respond so I set about establishing a project (TeacherNetUK) with the goal of disseminating ideas from local innovations in order to provoke whole system change. This project was structured to test my theory of how local innovation could be used to bring about whole system change in the professional knowledge base.

This work with ICTs is another instance where a new idea was being developed as a local innovation but where the research findings have the potential for contributing to whole system change. The findings of the research I was involved in (Appendix B) were similar to those of research I had carried out under the TVEI initiative and the introduction of new technology as it was then, into schools. This research indicated that if certain factors were not in place, this innovation would not succeed with the result that disempowerment and disillusionment would ensue and that there would be lost opportunities for pupil learning. The application of the emerging model to this work on information and communication technologies in education is discussed in Section 8.

### **Empirical basis for the papers submitted**

The papers accompanying this submission together with other joint publications to which I have contributed which are listed in the bibliography are of different types - books, articles for academic, teacher and governor audiences, confidential reports emanating from government and industry funded research projects.

In the following section, where the definitions of high quality research are discussed, the communication of research findings to appropriate audiences is identified as one criterion of such research in education. It is for this reason I include this range of publications. The work underpinning the publications is empirically sound - some

aspects of the research methodologies are discussed below and detail about the SDP Project methodology is included in Appendix D.

However, the form in which the findings in each case are expressed and the journals/texts in which they are published are considered appropriate to the publication and thus the audience. Some publications were confidential (Paper 1, Appendix B) and for certain audiences only - for example evaluation reports for the London Borough of Enfield and Manpower Services Commission (Leask *et al* 1986a-c; 1987 b-f)); as was Guidance for LEAs from the School Development Plans Project team, (Papers 8 & 9). I have included some of these papers as they show the continuity of the work and because they provide an indication of the research base which supports a number of the papers submitted.

I acknowledge that some papers are not in the form in which one communicates with academic colleagues. However the view that academic research is only to be considered valid if it is reported to academic audiences is challenged. Hammersley (1996), among others (Kushner, 1996; Mortimore, 1997; and Walker, 1997), speaks out against the damage which this view is causing to educational researchers which is partly being forced on them by the Research Assessment Exercise (HEFCE *et al*, 1997). That there is confusion about the purpose, quality and management of educational research is evident from the work of those quoted above and the debate occasioned by Professor David Hargreaves' Teacher Training Agency (TTA) lecture



(Hargreaves, 1996) and the responses to this lecture (see for example, MacIntyre, 1997; Hammersley, 1997).

So the submission of papers which vary in style is done for a purpose. Whilst Papers 1, 7, 8, 10, 13, 38 and Appendix B and Leask, Turner and Turner (1995, 1996) were outcomes of commissioned research, many of the other papers were written with a view to communicating to particular audiences in order to enable research findings about the principles underlying the process of planning and evaluation to be widely available.

### **Research methodology underpinning the papers presented**

The papers submitted are all based on empirical work supported by a rigorous methodology. In some cases, because they were intended to communicate with particular audiences, the research methodology underpinning the ideas has not been spelt out and so more detailed information is included in Appendices A and B.

As an educational researcher, I subscribe to the ethical guidelines produced by the British Educational Research Association (1992) which provide a recognised ethical structure for the work of educational researchers. Before these were published, the ethical guidelines taken from Kemmis & McTaggart and cited by Hopkins (1993) (see also Paper 2), provided a framework in which to undertake research. As part of my

work training teacher-evaluators, I spelt out the ethical framework and methods which should guide the work of researchers: for example, Paper 2 and Leask (1988d & e). This advice draws particularly on the work of Eraut, Hopkins and Simons. Later in this submission, I discuss in more detail the impact on my practice of my induction into research methodology via the principles of democratic evaluation. As part of these professional standards, I keep all research data for at least five years after the end of the project. In the case of the School Development Plans (SDP) Project, the papers are in the archive at the University of Cambridge Department of Education; the STEM Project papers are at the Institute of Education, University of London. As the methodology underpinning the empirical work on the SDP Project has never been fully written up, it seems appropriate to include here an outline of the research design in Appendix A together with copies of some of the original papers (anonymised) and an example of an analysis sheet produced on the basis of the data collected from schools. Papers 7 and 13 show the findings in their published form.

There are philosophical differences between educational researchers about what constitutes high quality research (see for example, Kushner, 1996; HEFCE *et al*, 1997). My practice accords with the criteria identified by Bassey (Table 1.1).

**Table 1.1: Criteria for judging the Quality of the Research Process**

Quality in elegance of the process of research...

Quality requires each decision made in conducting research to be based on an acceptable rationale; and it requires each assertion made in reporting the research to be based on acceptable evidence. Thus quality can be expected:

- (a) in the framing of the research questions which define the purpose of the enquiry, and in the reformulation of these as circumstances change;
- (b) in the appropriateness of the rationale or theory which underpins the enquiry;
- (c) in the choice of setting and definition of the boundary if the enquiry is a study of a singularity;
- (d) in the representativeness of the sample if the enquiry is a search for generalisation;
- (e) in the way in which data is systematically recorded, stored, and is potentially available for audit;
- (f) in the extent to which the data are perceived as trustworthy, and are as accurate as necessary;
- (g) in the extent to which the interpretations, explanations and conclusions arise logically and rationally from analysis of the data;
- (h) in terms of the enquiry being perceived as ethical;
- (i) in the extent to which the researchers have developed and justified new methods of enquiry; and
- (j) in the extent to which as wide an audience as may benefit from the new knowledge will have the opportunity of access to the publication.

Judgements of quality such as these are pertinent to all forms of research in educational settings and elsewhere.

(Bassey, M. *et al*, 1994, p.2)

As a member of both the 1992 and 1996 Research Assessment Exercise Panels, Bassey's views might be considered to carry some weight. Most of these criteria, for example, the framing of questions, data collection and analysis and ethics - are the standard criteria for judging the quality of research which have been applied to the



research methodology underpinning the teacher-evaluator work I undertook (Leask, 1988c) fully documents and critiques this methodology) and their application to the research carried out for the School Development Plans Project is discussed in Appendix A. For comparative purposes, I also include the research design for another research project - Project Connect - which I led (Appendix B).

The purpose of this brief section is to identify criteria which may be considered appropriate for judging the quality of research underpinning the papers. A short analysis of how these criteria do apply, for example to the SDP Project, is provided in Appendix A. Appendix D provides general comments on the tensions encountered in undertaking educational research.

In the next section, the stages which led to the identification of the model are presented. The papers submitted are located in the political context of the time and linked with relevant literature influencing the context in which they were written. The process of identifying the conditions for moving from local innovation to new professional knowledge is mapped out and linked with the content and purpose of various papers. The application of these conditions to the design of a new project is discussed in the final section.



## INTRODUCTION

**The emergence of the model identifying conditions which support the embedding of new knowledge and practice in the profession.**

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In this section I trace the stages in the development of my understanding of how local innovations can contribute to the development of new knowledge in the profession and how the HEI researcher can act to ensure this knowledge becomes embedded in the professional knowledge base.

The papers supporting this submission (and other joint work listed in the bibliography) cover a decade's work and are for the most part discussed thematically in order to show how the outcomes of a number of research projects contributed to the development of a series of theoretical constructs related to the creation of new understanding from practice, to whole system change, to continuing professional development for individuals and to the role of HEI researchers in this change process.

The analysis of the impact and outcomes of the decade's work provides a set of conditions for embedding new knowledge in the profession which has been developed from local innovations undertaken by teachers. In this section, I demonstrate how these theoretical constructs were developed and then applied in the TeacherNet Project which is focused on embedding change in the professional knowledge in the profession. This interventionist role is undertaken deliberately and is an expression of

a personally held philosophy about the role of the academic as developer, recorder and custodian of the intellectual heritage of a profession. The process which led to the formation of this philosophy is documented in Section 1.

Seven stages leading to the development of this philosophy and theory of the conditions for supporting the embedding of new knowledge and practice in the professional knowledge base are identified and discussed. They are linked with the papers submitted and are listed below. An eighth stage involves the application of the theory to the design and implementation of the TeacherNet Project which is being built on local innovation but which is currently influencing national development.

The stages are:

1. induction into the democratic paradigm and moving on;
2. pressure builds for the development of better school-based tools for evaluation;
3. problem-solving in the context of local innovations;
4. building on local innovation to provide advice for whole system change;
5. parallel discourses and the hijacking of the professional agenda;
6. questioning the mechanisms for developing the professional knowledge base for the teaching profession;
7. embedding new knowledge and practice - linking research and practice;
8. applying the model to the TeacherNet Project.

The process of embedding change in the educational system has been of interest to me since my involvement initially as a teacher in the TVEI initiative (1984-1986) and later as an LEA TVEI evaluator (1985-1989). The introduction of this national initiative was viewed by some as an attempt by government to introduce curriculum change by manipulating the purse strings. (In Paper 19, where I discuss the impact of government policy on the education system and the ideology driving change, I call it 'Cheque book curriculum development'). The failure of the TVEI-induced curriculum changes which followed to become embedded in practice seemed to me to be because the TVEI initiative was perceived in some areas as a bolt-on to the curriculum rather than an integral part of it (Hopkins, 1985). In Paper 19, I point out that this direct government involvement in curriculum content was seen as a break with traditional methods of change (*ibid*, p.54). So whilst TVEI provided finance and new ideas, it seemed to me to fail in its goals for embedding new practice in the profession. Ball concurs, making the point that the old form of pluralism of influence on policy making was defunct by the 1980s, i.e. when TVEI was introduced (Ball, 1990b, p.12). This had allowed the dominance of professional staff (unions, LEAs, examination boards) in the policy making process, whilst government was relatively neutral; Ball quotes Ashford's 1981 description of this as a 'clientist' approach (*ibid*, p.7). The government of the time took a very active role in policy formation. Ball suggests that this led to 'democratic pluralism being replaced by elite-pluralism' (*ibid*, p.19).



This change was resisted. The professional discourse around the TVEI initiative included concern about the imposition of change and government intervention in curriculum change.

My awareness of different models of change began with my **induction into the democratic evaluation<sup>2</sup> paradigm (Stage 1)** as a TVEI teacher-researcher under the supervision of Professor Helen Simons (Institute of Education, University of London). She was responsible for establishing a structure of evaluation within the London Borough of Enfield in which teachers worked with professional evaluators within the philosophical model proposed by writers such as MacDonald, Ebbutt, Simons, Elliott, Walker, Somekh and others responsible for the development of classroom action research models. Later I took over the role of LEA TVEI evaluator when Professor Simons had completed the first stage of the evaluation, and with other LEA TVEI evaluators, I worked with Professor David Hopkins (at the Cambridge Institute of Education) on issues of methodology and approach. The professional discourse around educational evaluation at this time, the mid-eighties, focused on empowerment, collaboration and professional growth. More recently, prominent themes in professional discourse in this area have been about what constitutes high quality research (including the role of evaluation research), as well as power relationships between funders and researchers.

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<sup>2</sup> Simons (1995) in her later writings prefers the term 'evaluation research' to describe evaluative practice. In my view, evaluation is research with the purpose of informing practice and as such needs to meet the criteria for rigor which have been professionally established e.g. Bassey (1994) and BERA (1992).

The teacher-researcher method of TVEI evaluation required me to work with teachers to develop evaluation strategies, to collect and analyse data and to disseminate the findings. I became aware that political and professional needs were creating **pressure for the development of better school-based tools for educational evaluation (Stage 2)**. The working methods of professional evaluators did not fit the needs within the TVEI programme for formative evaluation to be undertaken within timescales which allowed practice to be modified quickly enough in the light of findings to remedy problems experienced by particular groups of children. At the same time, my experience of developing whole school and classroom based practice in evaluation through working with teachers seemed to be providing ways of working which had the potential to improve established practice in education. As problematic areas related to effective school-based evaluation strategies were identified with teachers, then solutions were developed and tested with teams of teachers. Papers 2, 3, 4 and 10 describe some of this work. Forums for professional debate existed in the LEA and problem solving through the introduction of innovatory practice was an accepted method of working. Paper 6 outlines the structure in place for supporting the teacher-researcher forums.

**This experience of problem- solving in the context of local innovations (Stage 3)** and the awareness of the lack of professional tools in evaluation, influenced my writing. Before becoming the LEA TVEI Evaluator, I had not needed to work with colleagues beyond the school context. Having responsibility across the LEA meant



that I had to disseminate ideas about new practice and to develop evaluative practice that produced valid and reliable evaluation findings and which would stand up to scrutiny by outsiders. It is in this context that Paper 1 was written. It drew on a number of evaluation reports, (e.g. Leask *et al* 1986 a-c, 1987 b-f). These are mentioned as they provided a foundation for later developments. Part of my work in this role was developing evaluative practice for school development plans (or institutional development plans as they were called at that time in Enfield LEA) and Paper 4 shows emerging ideas which contributed to later work on the Schools Development Plans (SDP) Project.

A secondment to a research officer role on the School Development Plans Project seemed a natural transition extending the local work I was doing to a national context undertaking research into other similar innovatory practice across the country. In this way, the School Development Plans Project was designed to be **building on local innovation to provide advice for whole system change (Stage 4)**. In my later post, as a tutor and researcher in a university, the understanding I gained in both the TVEI and SDP Projects about the lack of professional tools for planning and evaluation influenced my writing as I realised that I had the opportunity to build this professional knowledge into texts I was writing for student teachers (Papers 23-28) so that at least for some new teachers, evaluation and development planning tools might become part of their ‘professional tool kit’.

I admit that I had a naïve idea about how the research findings on the School Development Plans Project would be used. I had come from an LEA where there was a positive collaborative ethos across institutions and where school development planning was encouraged as a useful professional tool empowering teachers within schools to work together to define priorities and to implement and evaluate desired changes. Goddard & Leask (1992) documents this context. Later I was to realise that the SDP research was supporting a national political agenda related to accountability and school management processes particularly those related to the policy of LMS (Local Management of Schools) (Wallace, 1992). I now see the arena of School Development Planning as one in which **parallel discourses** (both political and professional) were operating but where the power of regulation employed by government allowed **the hijacking of the professional agenda (Stage 5)** related to the creation of planning mechanisms which would enable schools to manage multiple initiatives (Goddard & Leask, 1992).

As part of the work on the School Development Plans Project, data was collected on the practices and procedures used by teachers and schools. In addition, the reasons for the adoption of particular practices and procedures were examined. Issues related to personality characteristics and organisational characteristics supporting the adoption of formal planning approaches were considered. This thinking led to my **questioning of the mechanisms for developing the knowledge base for the teaching profession (Stage 6)**. This has become an area of increasing interest to me. In my current role of



teacher-educator, I question the basis on which teacher-educators make decisions about the content of courses for initial teacher training. How do teacher-educators acquire and how can they justify their understanding of what constitutes appropriate professional knowledge (skills, attitudes and understanding) for teachers at different stages of their career? How does this view of ‘appropriate knowledge’ change? What are the roles of different players in the education game, the teachers, LEAs, HEI staff and Government? Where there is synergy between the discourse among different players, then the opportunity for change to become embedded for the long term is more certain. Many of the later papers either take up this theme or have been specifically written and targeted at specific audiences in order to have an impact on the professional knowledge base.

One outcome of the convergence of the parallel discourses on development planning was that **embedding new knowledge and practice, the linking of the research findings to practice (Stage 7)** was made much easier. The dissemination of the findings to every school in the country, coupled with the requirement to produce a development plan which followed later, ensured that change happened. That the interpretation of the purpose of planning in some schools and by individuals was not that intended certainly by some of the research team is a consequence of the ‘Chinese whispers’ problem mentioned earlier (Hammersley and Atkinson, 1995) and is, I suggest, inevitable with any change.

As mentioned earlier, the outcomes of the SDP Project were directed at senior management and LEAs (Papers 7, 8, 9 & 13). As the project was coming to an end in 1990, it was clear to me that this was too narrow a group if these professional planning tools were to empower teachers to analyse and change and monitor development in their own areas. This thinking led me to undertake an *analysis of conditions for embedding new knowledge and practice in the professional knowledge base*. The convergence of both political and professional interests and needs had clearly supported the development and dissemination of ideas about new ways of working. But if these ideas were only disseminated to senior managers, there was a possibility that they would disappear as that group retired or moved on. Whilst it could be considered arrogant to deliberately set out to change practice, if one agrees with Ball's (1990b, p.3) analysis of how policy was made under the Conservative Government, then the argument that those who feel they have identified a need for change on the basis of evidence have a responsibility to ensure these changes happen, has some weight. Ball's analysis reveals policy making as chaotic:

...I do not intend to portray education policy simply as a matter of the inevitable and unproblematic extension of Thatcherism...Discontinuities, compromises, omissions and exceptions are also important...Policy making in a modern, complex and plural society like Britain is unwieldy and complex. It is often unscientific and irrational, whatever the claims of policy makers to the contrary.  
(Ball, 1990b, p.3)

Ball acknowledges that many policies introduced under the Education Reform Act (1988) are 'shots in the dark', and that this form of policy-making continued throughout the period of office of the Conservative Government.



It seems to me that the model for the development of the new knowledge about evaluation and planning strategies and processes provided a sound base for claims to be made about the acceptability of generalising from the findings. The ideas were built on the basis of local innovation so the new theories were grounded in practice, and these theories were then exposed to considerable peer examination (Appendix A) before being published. Compared with the chaos of politicians' policy making described by Ball, this approach seems to provide an acceptably rational approach to change.

The hijacking of the outcomes of the School Development Plans Project research for political ends forced me to consider my responsibilities as researcher to those who provided the data. In situations like this, *the implications for the moral and professional accountability of researcher to respondents* could not, I felt, be ignored. Interference by those commissioning research in the outcomes is not an uncommon experience and researchers resolve the problems in different ways. Simons, for example, relates her strategies in an LEA context in graphic detail (Simons, 1987). On the SDP Project, the team refused to have their names put on the second publication (Paper 13) because changes were insisted on by HMI and government. This experience contributed to my developing view that in many cases researchers should go beyond the publication of results, to take on an implementation and development role, i.e. an active role in embedding new knowledge in the profession.

A number of papers submitted then were written for a quite specific purpose: to disseminate new understanding and knowledge gained from these projects. Texts, too, were written to achieve specific purposes. Clearly there are a number of obvious reasons why academics write the texts they do:

- to communicate ideas;
- to promote research findings
- to record, analyse and advertise current practice,

besides more mundane motivations of money, prestige, and research assessment ratings.

Three texts containing papers presented as part of this submission were specifically conceived to make explicit links between theories generated from research and practice and to disseminate these ideas across the profession. Capel, Leask & Turner (1995) and the accompanying texts in the series focus on student teachers' needs:

Capel, Leask & Turner (1996) is designed to meet the needs of newly-qualified teachers and Leask & Terrell, (1997) undertakes a similar task for middle managers. Goddard & Leask (1992) was written as a critique of the impact of government policies on professional issues.

Thus the evolution of my *philosophical stance on questions of action: linking research with development* can be seen to have occurred over a period and to be based on a developing understanding of how change in the education system can be chaotic,



but given certain conditions, can be built on good practice and innovation locally.

Gitlin (1994) takes up this theme in the USA context.

With the writing of the text *Development planning and school improvement for middle managers* in 1995, I completed the targets I had set myself for disseminating the research findings on development planning and evaluation. It was at this time that I was asked to direct the evaluation for Project Connect, an industry/education project with the goal of introducing new technologies using the Internet to schools. I found myself in many respects in a similar situation to the one I was in in 1986 when I became responsible for LEA evaluation strategies and found there was a need to develop new professional tools. Professional knowledge about the application of this technology to teaching and learning was very poorly developed. Yet it was clear to me that the innovation would have national significance as practice in other countries was much further developed and it was possible to gain ideas of what was possible from them. So I found myself in the fortunate position of being able to work with colleagues in schools to develop innovation at the local level, and to test out my theories of how to build on the experience of local innovations to promote change in the professional knowledge base nationally. The outcomes of **this application of the model to the TeacherNet UK project (Stage 8)** include a refinement of the model which emerged during the School Development Plans Project. The revision of the model and its application are discussed fully in Section 8.

## **Summary**

In each of the following parts of this submission, the process of achieving the understanding at each stage is discussed. The theoretical background to developments in the key areas of evaluation and development planning is given so that the work of these papers can be seen in the context of other work in the field.

This study makes no claim to establish universal truth but aims to illuminate possible ways of working which may help researchers who identify problems which need solutions at national level, to ensure that change in education is based on empirical evidence drawn from practice of teachers in schools. The chaotic nature of educational change and policy making is accepted as is the complexity of schools as organisations and of people within those organisations.

## **STAGES IN THE IDENTIFICATION OF THE MODEL :**

### **SECTION 1:**

#### **First Stage: Induction into the democratic paradigm and moving on**

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In this section I discuss the formation of my views about how to undertake educational research. The context in which these views were formed, and the ways in which various influences had an impact on the papers submitted are identified together with some of the tensions related to approaches and strategies which researchers have to resolve when planning and undertaking research. There is a plethora of publications detailing different paradigms in educational research: Schratz and Walker (1995), Hammersley and Atkinson (1995) and Walford (1991) are just some of the texts in which individual researchers discuss their personal approaches to educational research. The work and philosophy of Professor Helen Simons provided the environment for my induction into educational research. Her philosophy influenced not only the early papers (1, 2, 4 & 6) and the conduct of any evaluation research<sup>3</sup> I undertook within the TVEI initiative (e.g. Leask *et al* 1986 a-c; b-f) but I suggest all my subsequent work.

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<sup>3</sup> Simons (1995) uses the term 'evaluation research' in order to describe, make clear that evaluation is a type of research undertaken. She considers the separation of the two terms unhelpful and I agree with her on that.



Whilst the training for this work included an induction into democratic evaluation approaches, it was only with subsequent research (Leask 1988c) that I became fully aware of alternative approaches. It has only been as I have become more experienced as a researcher that I have realised the extent of this influence on my professional formation.

I worked under Simons' sole influence for about two years as a teacher-researcher on the Enfield TVEI evaluation project which she directed. When her contract finished, I took over the management and development of the evaluation working then with Professor David Hopkins at the Cambridge Institute of Education. Because Simons' influence had such a formative effect on my own values as an educational researcher, an examination of her value stance, and thus to a large extent, mine, is included here, at the beginning of this submission. Understanding these values will enable the reader to understand why I value collaborative work very highly and why I consider that the academic researchers have an obligation to write for audiences beyond the academic audience who are reached through publication in refereed journals or academic texts.

Simons locates her values in the context of an Anglo-American community of evaluators 'whose thinking in practice was largely concerned with working out the relationships between politics, knowledge and methods within such a purview' (Simons, 1987, p.31). In particular her approach was shaped by 'evaluation theorists,

such as Cronbach, House, Stake and MacDonald'. She identifies with these writers and their values, describing them as

...theorists of planned change steeped in the history and analysis of 30 years of curriculum reforms. Far from being indifferent to the success or failure of reform initiatives, it is clear that much of what they advocate for evaluation is linked to, if not derived from, a view of the conditions of school improvement.

(*ibid* p.31)

Her stance in the mid-eighties, was particularly sympathetic to 'democratic evaluation' (1987, p.5) and 'naturalistic inquiry' which she defines<sup>4</sup> as:

...the generic term that can be used to describe many of the alternative approaches to evaluation that gained prominence in the seventies as a reaction to more traditional forms of evaluation when these proved inappropriate for understanding the complexity of curriculum reforms. These alternative approaches include holistic evaluation (MacDonald, 1971, 1973, and 1978a); illuminative evaluation (Parlett and Hamilton, 1972); democratic evaluation (MacDonald, 1974); responsive evaluation (Stake, 1975); evaluation as literary criticism (Kelly, 1975); transactional evaluation (Rippey, 1973); educational connoisseurship (Eisner, 1975) and quasi-legal evaluation (Wolf, 1974) though it has been argued that the last two fit rather better perhaps within a judgmental paradigm and an adversarial paradigm respectively (Guba and Lincoln, 1981).

All these approaches stem from a recognition of the inadequacies of an experimental model of educational research for evaluating complex broad aims of programmes that develop in action and have different effects in different contexts. They have been characterized by Hamilton and House as pluralistic evaluation models (that is, models that take account of the value positions of multiple audiences), and House (1980) has also explicated their underlying political assumptions. Hamilton (1977) offers a useful summary of the characteristics of this emerging group of evaluation models:

Compared with the classical models, they tend to be more extensive (not necessarily centred on numerical data), more naturalistic (based on program activity rather than program intent), and more adaptable (not constrained by experimental or preordinate designs). In turn they are likely to be sensitive to the

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<sup>4</sup> Where I include a long quotation in this work, it is because I particularly want to capture the detail provided by the original author. In this case, Simons describes the views of a number of significant theorists who together ensured that naturalistic paradigms gained recognition in educational research.



different values of program participants, to endorse empirical methods which incorporate ethnographic fieldwork, to develop feedback materials which are couched in the natural language of the recipients, and to shift the locus of formal judgement from the evaluator to the participants (Hamilton, 1977, p.30).

(Simons, 1987, pp.27-30)

## 1.1 Definitions and tensions in the democratic paradigm

Simons describes the democratic form of evaluation as one of three types posited by MacDonald (1974). These were *bureaucratic evaluation*, *autocratic evaluation* and *democratic evaluation*. Simons goes on to point out ‘the concept of democratic evaluation was in part a reaction to and rejection of technocratic forms of evaluation’, (p.39). She cites MacDonald’s views on a researcher’s obligation within the democratic paradigm:

...democratic evaluation by contrast recognises the essentially pluralistic nature of society and asserts ‘the evaluator’s obligation to democratise his knowledge’.

(MacDonald 1974, p.12 cited in Simons, 1987, p.40)

Simons draws attention to fact that the concept of democratic evaluation was not always well-received by other evaluation theorists. The terms she quotes from well-known evaluators in their responses to MacDonald’s democratic evaluation include words like ‘facile, manipulative, humanistic, value-free and deferential’ (Simons, 1987, p.45).



Endorsing the democratic model of research carries with it certain expectations.

According to Simons (1987, p.53) MacDonald identifies three main principles of democratic evaluation as being a commitment to:

- community
- diversity
- mutual accountability.

Accepting these principles means that the relationship of the researcher with the community in which the research is carried out goes beyond the collection of data and publication of findings to collaboration and to accepting some shared responsibility for action. Gitlin (1994) and the fifteen contributors to the text *Power and Method* support the linking of action and qualitative research in particular.

In industry, research and development (R and D) are naturally coupled and there is also an acknowledgment that 'blue skies' research is appropriate. In the field of education, the argument that both types of research are acceptable does not appear to have been won (Mortimore, 1997; Walker, D. 1997, p.4/5).

This question of accessibility of research and reporting to the community in which the research takes place is one that those following the 'democratic evaluation' paradigm take seriously. Schratz and Walker (1995) express a concern that these values are not widely held:

In the late 1960s as educational research began to look at the possibilities and potential for qualitative research against a background of a research tradition dominated by testing and survey research, there was the unstated promise that such a shift in methods might help resolve some of these questions...but it has not made research any more accessible, more widely used or more democratic. At the present time, education researchers can turn in almost any direction to draw on qualitative research models that can be used to study education in ways that make their work publicly more accessible. They can, but for the most part, they do not.

(Schratz & Walker, 1995, p.167)

The relevance of educational research has been much criticised in recent months (Mortimore, 1997; Walker, 1997). This debate seems focused not on whether development should follow research but rather at the earlier stage in the process, i.e. who decides what research should be undertaken. The question behind the debates is whether education researchers have any obligation to undertake research which can be applied to practice. Whilst that is the form of research I like to undertake, I support the view of colleagues that a tight link with classrooms and schools is not appropriate in a discipline which can encompass a wide range of specialisms (Deem, 1996 and in Bassey *et al*, 1994, 1995). I also support the right of academics to carry out research in areas of their own interest - if funders wish to have research undertaken then, in the current context, they have the right to dictate the topic; otherwise, my view is that academics are free, by the nature of their academic role, to undertake research in their own interest areas. Simons points out the dangers of restricting the independence of researchers:

The conditions under which educational research is now sponsored by government make it very difficult to conduct non-collusive research and even more difficult, if not impossible, to make an independent research-based contribution to education policy-making.

(Simons, 1995, p.435)



She goes on to suggest that funders should not have ownership of outcomes:

This principle of 'customer pays, customer owns' is in marked contrast to another principle proposed by MacDonald in evaluation research several years later: 'you cannot buy an evaluation, you can only sponsor one' (MacDonald, 1982). This principle was introduced to acknowledge first of all that ownership over research is much more complex than 'customer pays, customer owns' implies and not simply a direct relationship between money, service and control, and secondly, to ensure that the general public as well as sponsors and researchers have a right in a democratic society to the results of research and evaluation, especially when these are funded by public money.

(Simons, 1995, p.439)

As MacDonald suggests with an evaluation within the democratic paradigm, the question of who has the right to determine the questions and the criteria for judging (evaluation implies judgement) is not straightforward. In the example chosen, the Enfield TVEI evaluation, the questions and criteria were, as one might expect in a democratic evaluation, determined by negotiation between teachers, (respondents), evaluators and the LEA: Paper 6 describes the process. Hence the values underpinning the framing of the research are not just those of the researcher or the funder. Papers 1 and 6 document this approach and Leask *et al* (1986 a-c, 1987 b-f) provide examples of the evaluation reports.

This is an approach which I have maintained in subsequent evaluation/research I have undertaken. Papers 22 and 38 and the Project Connect papers (Appendix B) show how the process has been applied. The design for the STEM research, (Leask, Turner and Turner, 1995, 1996) did not allow for this flexibility as the purpose of this



research was not to inform the practice of respondents, but to find answers to questions about university recruitment strategies.

For the researcher in the democratic paradigm, the question of appropriate action both during the research and in terms of identifying the research focus and communicating findings cannot be sidestepped.

Simons describes MacDonald's approach to the question of action:

MacDonald uses a dramatic metaphor to make his point likening the evaluation enterprise to a piece of street theatre where the evaluators' script of educational issues, actions and consequences is being acted out in a socio-political street theatre which affects not just the performance, but the play itself. He finds he can make few assumptions about what has happened, what is happening, or what is going to happen. He is faced with competing interest groups, with divergent definitions of the situation and conflicting informational needs. If he has accepted narrowly stipulative terms of reference, he may find that his options have been pre-empted by contractual restraints that are subsequently difficult to justify. If, on the other hand, he has freedom of action, he faces acute problems. He has to decide which decision-makers he will serve, what information will be of most use, when it is needed and how it can be obtained. I am suggesting that the resolution of these issues commits the evaluator to a political stance, an attitude to the government of education ... No such commitment is required of the researcher. He stands outside the political process, and values his detachment from it. For him the production of new knowledge and the social use of that knowledge are rigorously separated. The evaluator is embroiled in the action, i.e. the allocation of resources and the determination of goals, roles and tasks .

(Simons, 1987, p.14-15)

I find the vehemence with which different schools of thought about research methodologies are sometimes challenged surprising (see, for example, Bassey *et al*, 1994; Simons, 1987; Carr, 1995). If one accepts that there is no absolute truth to be

found through research then an acceptance of the individual researcher's right to select from a variety of approaches to suit the task in hand providing the selection is fully justified and open to scrutiny seems to be an acceptable basis on which to act.

The stance I take to reporting findings is based on the concept of moral and professional accountability. For example, with the final publication of Papers 36 to middle managers, 28 to student teachers and 31 to NQTs, I now feel that all has been done which could have been done, to communicate not only the findings of the School Development Plans Project but also the philosophy espoused by those teachers who first developed development planning to those concerned at all levels of the system: teachers, newly qualified teachers, student teachers, governors, heads, academics and government itself. I have satisfied my sense of professional duty as a researcher, although I acknowledge that those who see development planning as a structuralist imposition disempowering schools and staff are unlikely to feel it is useful to disseminate further details about the processes.

Whitehead, writing in the mid-nineties, writing after a couple of decades or so of the development of theories of teacher-researchers based on action research theory, suggests that action research methodologies support the evolution of 'living educational theories' (Whitehead, 1996, p.457). In some senses, that is what this submission is highlighting, that through research, 'living educational theories' can emerge. Whitehead's ideas seem to extend the ideas about the development of



grounded theory espoused by Glaser and Strauss (1967). In defending criticisms of his work by Newby (1994), Whitehead (1996) refutes Newby's criticisms of action research and invites:

...other readers ... to join with me in showing how our philosophies not only interpret our world, but are also integrated into our living educative relationships with our students, as we try to improve them. I am thinking of the creation of our own living educational theories that show how we are struggling to express more fully and to justify the values that we think will help to regenerate our culture and that at the same time will help us to improve the contributions our philosophies can make to the creation of an educated community.

(Whitehead, 1996, p.461)

## 1.2 Satisfying criteria for high quality research

In 1994 at the British Educational Research Association annual conference, a round table discussion was held to debate definitions of high quality educational research and a number of eminent educational researchers took part (Bassey *et al*, 1994). The debate provided a rare opportunity to collect together at one point in time, the views of leaders in the field. The democratic paradigm described in this section can be usefully evaluated against these criteria:

There are many ways of working towards the end of critically informing educational judgements and decisions in order to improve educational action. This definition embraces the realms of empirical, reflective and creative research, the categories of theoretical, evaluative and action research, the search for generalisations and the study of singularities, the audiences of researchers, practitioners and policy-makers, and the positivist and interpretative paradigms.

(Bassey *et al*, 1994, p.1)



### 1.2.1 Audience, relevance and action

Between the members of the debate, there was disagreement over the purpose and outcomes of educational research. Harlen and Bassey considered the criteria of relevance and focused on action important criteria for judging research. However Troyna and Deem disputed Bassey's definition that 'Educational research aims critically to inform educational judgements and decisions in order to improve educational action.' (1994, p.1) pointing out that researchers 'may see methodological or theoretical development as their major concern' (1994, p.4).

Bassey goes on to consider the breadth of audience to be important. He suggests one criterion should be 'the extent to which as wide an audience as may benefit from the new knowledge will have the opportunity of access to the publication.' Furthermore, he comments on the importance of impact of the research:

I suggest that quality in educational research requires the outcome of research to have a significant and worthwhile effect on the judgements and decisions of practitioner or policy makers towards improving educational action.

(Bassey, 1994, pp.1-2)

Whilst I acknowledge that a number of writers question the motives and rights of researchers who wish to affect change, my view is that there is the possibility of rational change within a chaotic system and that, as an HEI researcher I have a moral and professional obligation to contribute to the achieving of rational change in what

ever way I can. Hence, this philosophy directs my work and underpins the papers presented here.

Bassey's criteria for relevance, audience and action seem to be related - if research produces relevant findings which are presented to the appropriate audience - then if circumstances (personal and political) permit, action should follow. But the stance a researcher takes on the question of 'action' as defined above, depends on the values of the individual.

### **1.3 Values and the democratic paradigm**

The theorists who influenced Simon's work also express concern for morality in research. Simons cites House:

The second distinctive contribution House makes to the validity debate is his concept of impartiality, 'Evaluators working either within a positivistic or phenomenological paradigm', he says, 'aspire in their role of investigators to be 'disinterested', removed from the interests and concerns of the everyday world'. Such a role he regards as 'morally deficient'. Being indifferent to whose interests are advanced is not the same as advancing the interests of all.

*(ibid, p.255)*

Similarly, Carr (1995) is critical of educational researchers who try to assert that their work is 'value' free. The questions asked are inevitably influenced by the values and educational philosophy of those who pose them in the first place. Simons (1987) also notes that evaluation can be seen as a means of empowering teachers:

Teacher educators fearful that ...[government]... demands might deprofessionalise schools saw in school self-evaluation, a means of both

protecting schools against reductionist pressures and of providing a stimulus for reflective practitioners.

*(ibid, p.195)*

Bringing notions of morality into the debate about appropriate roles for education researchers is a characteristic of the 'democratic evaluation' paradigm.

Further insight into Simon's reasons for taking a democratic stance is provided by this statement:

By 1976 as a result of all my experience of school case study and encouraged by the potential revealed by the Castle Manor study, I had come to two conclusions. The first was that the school rather than the classroom should be seen as the major unit of change and focus of development efforts. The second was that intra-institutional evaluation conducted along democratic lines could provide a basis for both development and for volunteered public knowledge.

*(ibid p.195)*

In Enfield, Simons set up structures for inter- and intra-institutional evaluation, undertaken by teachers but within a peer-review framework and under the supervision of researchers from higher education. Paper 6 provides a diagrammatic representation of this arrangement and Paper 1 provides an critical review of the strategy. This paper is based on interviews with a number of researchers with national reputations about the research framework, the reliability of the methodology and the validity of the findings.



This teacher-researcher approach which Hopkins also supported is not without its critics. Simons quotes Scriven, (p.33) on the need for evaluators to be specialists:

...the very idea that every school system or every teacher can today be regarded as capable of meaningful evaluation of his own performance is as absurd as the view that every psychotherapist today is capable of evaluating his work with his own patients. Truly they can learn something very important from carefully studying their own work. Indeed, they can identify some good and bad features about it, but if they or someone else need to know the answers to important questions, whether process or outcome, they need skills and resources that are conspicuous by their rarity, even at the national level.

(Scriven, 1967, p.53 cited in Simons, 1987, p.33)

Ultimately the choice of approach to research is a question of values and beliefs. The approaches described in this section are, I suggest, exclusively rooted in liberal and democratic (modernist) values, and a belief that it is possible for individuals to make a difference and that it is right for them to try.

#### **1.4 Action and the role of the HEI researcher**

As a result of being inducted into the philosophy and values guiding the work of both Hopkins and Simons, I developed a view of the HEI education researcher's role as one which carried a responsibility for working closely with teachers in analysing, recording and pro-actively developing professional knowledge. It is acknowledged that this philosophy is out of step with the prevalent postmodernist philosophies, but no apology is made for this as, in my view, most writers espousing postmodernist theories seem to be rendered impotent by accepting the philosophy, e.g. Carr (1995). I prefer action to impotence, even though I accept postmodernist concerns that action is

fraught with difficulties and misunderstandings because of the complex nature of society in the current era. Andy Hargreaves (1994) seems to support this approach. My view is that HEI education researchers have a responsibility to undertake the role of custodians and recorders of the profession's intellectual heritage, e.g. knowledge about pedagogy, system development and management.

In this submission, it is argued that to maintain credibility and links with reality, HEI researchers have a responsibility to join the 'game of educational development' using their direct involvement as an opportunity to develop new rules jointly with teachers.

To me, the traditional role (modernist in Carr's terms) of academics has been to act as the conscience of society - to act as objective observers - monitoring change, analysing, criticising, researching, pointing out injustice and questioning, recording and evaluating practice, creating new knowledge and understanding, being free to speak without fear of reprisal. This view of the academic role has guided my work. That the academic has a responsibility to contribute to developing professional knowledge through publication has been a principle underpinning the work I have undertaken, and it has contributed to the diversity of my interests - where I have seen problems, I have acted to investigate them and to provide solutions.

In education, there are few who have an overview of the whole system or who have the freedom within their own jobs to investigate: officials in the DFEE change post

regularly, teachers are preoccupied with their classes, heads with their schools: academics are strategically placed to comment on the direction and impact of developments in the field. Many academics would say they no longer have this freedom and it is acknowledged that the prevalence of short-term contracts and the requirement to draw in research funds to pay for salaries have directed a number of academics into certain areas of work at the expense of others.

### **1.5 Research and political power**

In adopting a set of values to guide their approach to educational research, researchers make a number of choices. Some of these have been identified above, such as:

- accountability structures;
- collaboration or lone working;
- reflexivity and responsiveness to respondents;
- the basis for making claims for new knowledge;
- forms of reporting;
- action stance.

But there are also political decisions to be made. Gitlin (1994) is passionate about 'how power is infused into the research process.' He considers that 'It is the lack of attention to issues of power, to how research influences identified aims, relationships,



and forms of legitimate knowledge ...that has been largely missing from methodological debates' (*ibid*, p.2). The model emerging from the work I have been doing indicates the potential there is for educators to influence professional knowledge if they understand the power that they have and the opposing forces.

Simons identifies particular problems which are faced by researchers in relation to what she calls 'legitimate political authority' (p.29). She says

Finally, what may not be too clear is how respect for legitimate political authority on the part of evaluators is distinguished from docility to substantive power relationships or even whether such a distinction is evident in theory and more importantly in practice.

(Simons, 1987, p.29)

This has been a problem which I have experienced on a number of occasions and on each occasion, those commissioning the research have won the right to suppress the research findings. These occurred twice during the TVEI evaluation and once on the School Development Plans Project. The second publication of the School Development Plans Project (Paper 13) fell foul of those commissioning it at the DES particularly with relation to the involvement of governors in the planning process.

Whilst much of the report as published does contain empirically based material, some sections were rewritten by the DES and HMI to reflect political interests. This is why the names of the project team do not appear on the report - this was the only sanction left for the team and it was applied. In the other two instances, both reports went unpublished. Simons (1987, 1995) considers that the issue of a researcher's rights to

disseminate findings apparently became increasingly problematic under the 1979 - 1997 Conservative Government.

Simons, quoting MacDonald suggests that more problems in this respect are faced by qualitative researchers than by researchers following a positivistic paradigm:

In the 'socio-political street theatre' the evaluator is not insulated against interference by the respect shown for the scientific methods of the researcher, whose powers of demonstration are rooted in hallowed conditions of practice. This is no less true of the social as of the natural scientist, although the more flexible and less reliable modes of social science lend themselves to political co-optation in less detectable forms than those we associate with post-war links between the 'hard' sciences and military-industrial complexes.

(Simons, 1987, p.15)

## **1.6 Moving on from the democratic paradigm**

The fundamental factor guiding methodological choice in any of the projects I undertake is that of 'fitness for purpose' - an eclectic approach not constrained by ideology, but as I have pointed out, my approach is guided by principles from the democratic paradigm. In none of the research projects in which I have been involved have I had the methodology dictated by the funder, so that the choice of appropriate methodology in each context has been based on professional judgement.

Accepting that any research can never tell the whole story is necessary if a researcher is to undertake any work but that does not mean that concern about the validity of



findings disappears. In an interesting article, Hammersley (1995) expresses concerns about claims to knowledge on the basis of research. He outlines four methodological positions (methodism, ethnographic realism, relativism and foundationalism) and then discusses the basis on which each makes claims for valid knowledge. The approach I generally take falls, in my view, within what he defines as the methodism/ethnographic realism paradigms:

There is no guaranteed way of producing valid knowledge, either by following methodological prescriptions or by getting into contact with reality. And this raises the question: at what point should we stop in offering or demanding evidence for a claim? All four of the positions I have outlined offer solutions to this problem. For methodism, evidence of reliability and/or of predictive validity serves the purpose. For ethnographic realism, the observational reports of an ethnographer who had direct contact with the reality studied, this perhaps also being validated by respondents, function in the same way. For relativism, the bottom line is the fundamental assumptions of the paradigm - these simply have to be accepted as a matter of commitment. All of these positions assume that we must and can have a fixed basis to which we can appeal to resolve disputes. This is ironic in the case of relativism, since its advocates often espouse anti-foundationalism in criticising realism and methodism; yet, as a positive proposal, relativism also offers an absolute foundation, albeit one that does not claim to be universally valid. In my view, all forms of foundationalism are indefensible; no absolute and predefined stopping point can be justified in the process of inquiry. Indeed, to attempt to lay down such a stopping point may block the road of inquiry, and that must be avoided at most (if not all) costs.

For me, the point at which we should stop providing or asking for further evidence depends on our judgement in particular cases about what we can take as beyond reasonable doubt and what relevant others will take to be beyond reasonable doubt. And any such judgement subsequently may be questioned by those others, or even by us should we revise our views about the validity of our assumptions. What is essential to research, in this view, is a dialogue in which there is a search for common ground and an attempt to work back from this to resolve disagreements, plus a willingness to revise views about previously



accepted assumptions and adjust our beliefs accordingly. What research offers from this perspective is not knowledge that can be taken to be valid because it is based on a certain foundation, but rather knowledge that can reasonably be assumed to be (on average) less likely to be invalid than information from other sources. This is because the kind of dialogue I have outlined functions to expose and eliminate errors.

(Hammersley, 1995, p.198)

I accept this philosophical stance - it tempers idealism with realism and allows the researcher to make claims for knowledge within clearly stated parameters.

## Summary

The philosophy espoused by Simons of 'democratising knowledge and improving schooling through the process of conducting and disseminating evaluations' (Simons, 1987, p.29) is one that is fundamental to the work presented to support this submission. It provides the rationale for the role of the HEI researcher as recorder, analyser, synthesiser of new knowledge and provider of a bridge between practice in schools and the establishing of new professional knowledge. Researchers working in the democratic paradigm believing they have an obligation to work with teachers and schools to create new understanding and knowledge in the profession have an obligation, I suggest, to take on this role. Papers 2, 4, 10 and 11 are early examples of this value stance. Later, for example, Papers 23-28 were published and the *Learning to Teach* series (Appendix H) was established in response to government moves to introduce school-based training, and the need for aspects of professional knowledge

held by HEI researchers to be recorded in a form accessible to school mentors and students.

Section 2 which follows takes the discussion in this section further in providing the context for the development of particular professional tools in evaluation, including some of the professional and political imperatives which have had an impact on new knowledge and practice in this area.

## STAGES IN THE IDENTIFICATION OF THE MODEL :

### SECTION 2:

**Second Stage:        Pressure builds for the development of better school-based tools for educational evaluation**

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Evidence from the literature suggests that concern about the need for better professional tools for evaluation is an ongoing concern.

Simons identifies work undertaken by Harlen in the 1970s as:

... clearly demonstrating a concern to improve teacher evaluation by giving teachers a dominant role in the process. This extends to articulating the purposes of evaluation and translating methods into language and schema that teachers can use.

(Harlen 1979a; 1979b cited in Simons, 1987, p.41)

That school-based evaluation strategies were poor during the eighties is suggested by the findings of the School Management Task Force (although it is acknowledged that this Task Force was not impartial as their remark below on performance indicators suggests):

*Monitoring and Evaluation:* This was the area in which least was apparently being done but which most people considered a priority for future action. Recognising the desirability of performance indicators as benchmarks (my emphasis) and more systematic approaches to evaluation, both primary and secondary schools called for more training in evaluation methods. Most LEAs were only just developing their own monitoring and evaluation structures and strategies, and had yet to devise formal systems for supporting evaluation in schools.

(School Management Task Force, 1990, pp.11-12.)



Lack of knowledge among the profession of cost and time effective evaluation strategies was a stumbling block to the monitoring of the effectiveness of development plans (Wilcox, 1992). The Inner London Education Authority (ILEA) document of the period also acknowledged that whilst schools were successful in producing school policies on particular issues, implementation and evaluation strategies were weak. However, the ILEA advice gave no guidance about what would be appropriate, it simply stated that there was a problem:

#### ... Evaluation

This too, is a problematic area. Many schools have examples of policies, thoughtfully produced and attractively presented, which are, nevertheless, of little value as nobody appears to read them and few apply them.

The Head must hold accountable each group or team responsible for an aspect of development and ensure that regular discussions of progress are built into the process. The result of these discussions should be conveyed to all parties involved...

(ILEA, 1988, p.10)

Unpublished research which I undertook in 1989 with the select group of experienced schools involved in the SDP Project also indicated that there was a need for clear advice about strategies for in-school evaluation.

## **2.1 The evolution of approaches to educational evaluation**

The lack of specific tools at the school level is less surprising if one considers the history of development of approaches to educational evaluation. Over the last twenty five years, there has been ongoing debate about this. Notions of acceptable practice have moved from a position where the positivist approach predominated to a position where both qualitative and quantitative approaches are recognised to have value - a position Hammersley and Atkinson (1995, p.3-4) maintain pertained in the nineteenth century until the development of statistical methods led to the dominance of positivist approaches. In defining the historical framework for the teacher-evaluator model of grounded research (Leask, 1988c, pp.22-24), I identified five distinct phases in the development of educational evaluation (and teacher-research) practice in the UK since the 1944 Education Act (Papers 17, 18 & 19).

Some of this thinking is included and adopted here. I have subsequently modified the fifth phase and added a sixth phase. These phases are:

1. the ad-hoc phase: up to the early sixties;
2. the objectives phase: the late sixties;
3. developing professionalism phase: the seventies;
4. school-focused phase: late seventies, early eighties;

5. the teacher-researcher phase - evaluation 'as', 'of' and 'for' professional development: mid-eighties onwards;
6. the evaluation for accountability phase: early nineties.

The *first phase*, the ad-hoc phase, covers the period up to the early sixties.

Educational evaluation seemed to be carried out largely on a voluntary basis by university lecturers and research students and by HMI and there was apparently no identifiable common methodology or purpose (Nisbet, 1984).

The 'objectives' approach drawing on the behaviourist paradigm and based on the work of Tyler and Bloom (Bloom *et al*, 1956, 1964) which was imported into the UK, formed the basis for the *second phase* (MacDonald and Parlett, 1973). This phase covers the period of curriculum development in the sixties, which was principally funded by the Nuffield Foundation and which Becher (1984) identified as the beginning of systematic curriculum development in the UK. McCormick and James (1983) regarded the period as one of significant growth for educational evaluation. At first innovation was driven by theory and ideology and evaluation of the new curricular initiatives was not initially an inherent part of the design of educational projects as the Organisation for Economic Co-operation and Development (OECD) pointed out:

In the late sixties, curriculum developers proceeded boldly...evaluation was not taken seriously.

(OECD, 1972, p.57)



However, there appeared to be a gradual realisation 'that evaluation was a necessary institutional part of curriculum development' (Hamilton, 1976, p.32). The cost of developing new educational programmes in both the UK and the USA led to demands for accountability which resulted in evaluation becoming a higher priority (MacDonald and Parlett, 1973; Fullan, 1981; Travers, 1983; McCormick and James, 1983). The objectives model of evaluation, which was imported and adopted in the UK, was based on the assessment of achievement of stated educational objectives and the central concerns seemed to be with student performance. However, reservations were soon expressed about the relevance of the model to the situation in the UK.

Both MacDonald and Holt identified the objectives model as a 'cultural artefact' of the USA (MacDonald, 1976, p.129; Holt, 1981, p.35) but it must be acknowledged that others in the UK supported the approach (Wiseman and Pidgeon, 1970; Cope and Gray, 1979). During this period the Assessment of Performance Unit (APU) was set up (by government) using the methodology of the objectives model to measure pupil performance in different areas of the curriculum (McCormick and James, 1983).

Becher viewed the setting up of the APU as stemming from a political demand for evidence about standards (Becher, 1984, p.107).

Nisbet (1984) viewed these developments as bringing about changes in the role of evaluation from that of a subordinate one to one where evaluation became an instrument of power and control. The setting up of the Schools Council and the Scottish Consultative Committee on the Curriculum in the seventies had particular significance for the development of evaluation theories. The curriculum development work of these bodies and the growing dissatisfaction with previous evaluation methods (Hamilton, 1976; Simons, 1984; Stenhouse, 1984; Skilbeck, 1984) was to stimulate changes in the role of evaluation leading to the third phase.

The *third phase*, of increasing professionalism of practice, extended from the early to the late seventies (Stufflebeam and Shinkfield, 1985). At this time, evaluation journals were established and books about evaluation began to appear. Stufflebeam and Shinkfield (1985) noted the development of the idea of meta-evaluation as a means of assuring and checking the quality of evaluation. In the UK, views that the psychometric approach was too limited encouraged the development of new approaches to evaluation. The reassessment of evaluation methods led to the 1972 evaluation conference at Churchill College, Cambridge, as a result of which the ‘illuminative’ method of evaluation gained support. Hopkins (1989) identified the text *Beyond the Numbers Game* (Hamilton *et al*, 1977) as a seminal text introducing the ideas which have provided the basis for subsequent work in the interpretative and anthropological paradigms in educational evaluation. The idea of involving teachers in research and evaluation can be seen to have stemmed from this change in emphasis

(Stenhouse, 1975, 1984; Becher, 1984; Nisbet, 1984). Examples are found in Stenhouse's (1975) articulation of the potential for the 'teacher as researcher', and MacDonald's evaluation of the Humanities Curriculum Project and the Ford Teaching Project (1975). The papers submitted to support this submission, which discuss evaluative issues, are rooted in the 'illuminative' paradigm (e.g. Leask, 1988c).

Becher (1984, pp.100-103) identified the audience for evaluation of the period as teachers, politicians and the public. The central concerns seemed to be with 'professional values' and 'on the assessment of educational products'. However, evaluators (who were usually from higher education) were becoming concerned about the processes involved in education. Ensuring the relevance of an evaluation to the practitioners and working together with those being evaluated emerged as aspects of the new role for evaluation. The development of evaluation by and as a tool for the teaching profession (Nixon, 1981; Holly and Hopkins, 1988) was a feature of the fourth phase.

The *fourth phase*, focused on the development of school-based approaches, began in the late seventies. Nixon described the period:

The era of the large, centralised curriculum research and development projects is, for better or worse, in the past. Local, school-based research which responds to the immediate needs of the teacher is now the order of the day.

(Nixon, 1981, p.34)



The advent of the National Curriculum in the late eighties seems to have reinforced the move identified by Nixon for a shift away from major curriculum development initiatives. Through the late seventies and eighties, experience with school-based review practices developed (such as GRIDS, see Birchenough, 1986; Holly and Hopkins, 1988; Nuttall, 1981; ILEA, 1983, DES, 1985; Holly and Hopkins, 1988; and Papers 18 & 19 describe the period) and the knowledge gained from the experience was to provide one of the roots for the development of practice in school development planning. Significant developments were made during the period in the use of qualitative evaluation approaches (Nixon, 1981, p.45; Leask, 1988c; Wilcox, 1992). The practice and acceptance of qualitative evaluation strategies signalled in the 1972 Churchill College conference was becoming embedded in the profession.

The next major shift, the *fifth phase*, empowered practitioners with skills for evaluation which they could use in their daily practice and in the formal reviews which took place within schools. Ideas about teacher-researchers and action research which involved practitioners in the evaluation of their own practice developed. McNiff (1988) provided an analysis of the emerging movement which was supported by educationalists such as Elliott, Hopkins, Simons, Stenhouse and MacDonald.

In Leask (1988c and Papers 1 & 6), I document the development of the teacher-evaluator approach, which was the approach to project evaluation stimulated by the allocation of funds to LEAs to develop projects within the Technical Vocational

Education Initiative framework and which has been discussed earlier. (LEAs were required to identify evaluation strategies when they applied to the Manpower Services Commission (MSC) for funding and such evaluation work came under the scrutiny of HMI and the MSC, who were responsible for monitoring the work undertaken). The impact of this change on educational evaluation practice is more fully described in Papers 17 and 18 and emerging practice in TVEI is documented in Hopkins (1985). The requirement for evaluation placed demands on LEAs all over the country to develop strategies for evaluation which were seen as capable of providing valid and reliable results. The innovative ideas about teacher involvement put forward by Stenhouse (1975) and MacDonald (1984) were taken up in the development of new strategies to meet this need.

*A sixth phase*, 'evaluation for accountability' can now be discerned. Schools and teachers are now expected, for example by OFSTED, to demonstrate that they are evaluating their work against set criteria. The work of Fitzgibbon (1996) and the multi-level modelling work of Goldstein and Thomas has substantially contributed to a methodology for collecting statistics which can be used for year on year comparison.

However, the use of qualitative evaluation methods is still patchy. Pantall (1997) conducts a thorough review of the current state of play in monitoring and evaluation in schools and the expectations at national level. Within her own school, she suggests



that evaluation has become a focus because of a looming OFSTED inspection: ‘With an OFSTED inspection in January 1998 the Headteacher has decided that monitoring and evaluating is an area that needs to be introduced next term’ (*ibid*, p.3). As she points out, OFSTED expectations are clear:

OFSTED suggests that a headteacher can delegate the management of a particular subject to individual members of staff ...Subject co-ordinators can be expected to contribute to the overall evaluation of work in their subject against agreed criteria, to evaluate standards of achievement and to identify trends and patterns in pupils’ performance.

(OFSTED, 1994. p.9)

Papers 4, 7 and 10 proposed evaluating against success criteria - at the time this was novel in the education sector. Now as these quotations indicate they are included in the requirements from Government, as is the notion of evaluation being part and parcel of a teacher’s work and leading to improvement in practice. Pantall goes on to identify specific OFSTED requirements:

... a test of effective leadership and management is a commitment to monitoring and evaluating teaching and the curriculum and to taking action to sustain and improve their quality ... Evaluating teaching in the curriculum should lead to specific intervention, for example, through a change in curriculum organisation, through curriculum development, staff training, the provision of resources for intensive support for individual teachers.

(OFSTED, 1994, p.103 cited in Pantall, 1997, p.2-3)

She points out that in her school the interpretation of these requirements is causing considerable stress, particularly where the Head considers that evaluation through



classroom observation of one's peers is an important aspect of a co-ordinator's role (*ibid* p.2). Commenting on the school in question, Pantall makes a statement which could have been written 10 or 15 years ago. 'So far little formal and systematic curriculum monitoring and evaluating has taken place (*ibid*, p.3).

## Summary

Since the *ad hoc* and *objectives focused* evaluative approaches of the sixties, professional knowledge in educational evaluation strategies has clearly developed to a point where effective school-based tools have been created and tested. New knowledge and skills take a very long time to be disseminated and educational evaluation strategies used in schools are still a cause for concern (TTA, 1995; Harris et al, 1995; Pantall, 1997). However, it is argued that there has been considerable development in the area in recent times.

Appendix E provides an example of the ideas in Papers 7 and 10 in action.

In the next section, the way in which professional knowledge and practice in school development planning build on local innovation is discussed in more detail.

## **STAGES IN THE IDENTIFICATION OF THE MODEL :**

### **SECTION 3:**

**Third Stage: Problem solving in the context of local innovations: the example of teachers collaborating to develop effective school-based evaluation and planning strategies.**

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As discussed in the previous section, in the mid eighties it was clear that schools were good at reviewing but poor at implementation and evaluation. Paper 18 provides information about several of the review schemes being used during the period and their limitations.

During the period in which I worked with teacher-researchers to evaluate TVEI, it became clear that if evaluation was to become a feature in the schools' review process, then strategies had to be devised that suited the school environment. There seemed to be a lack of professional knowledge in Enfield Schools about evaluative practices which could be considered to be reliable and to provide valid results. Intuition was often used as a basis for making judgments about the quality of curriculum outcomes and the outcomes of innovative work. The ideas expressed in the teacher-researcher movement (Stenhouse, 1975) and the Classroom Action Research Network (CARN) were not widely known in this LEA. Part of my work was to give guidelines and support with training in this area (see Papers 2, 3 , 7 & 10; Leask 1988d & e). The experience of seeing how local solutions, devised by teachers who were seeking

answers to problems, could influence practice nationwide in the areas of evaluation tools and school development planning has had a powerful effect on my thinking.

The evaluation methods which were established in Enfield, (Papers 1, 3 & 6) under the democratic evaluation model influenced approaches to evaluating school development planning in the LEA, (Paper 4). The action planning approach to evaluation linking evaluation with priorities and criteria and requiring people to define timescales so that they were more easily able to see whether they had the resource to carry it through was developed with teachers and is reported in Paper 4. Work in the LEA on qualitative indicators supporting school-based evaluation strategies was begun with the publication of Paper 3 and undertaken in the framework outlined in Paper 6. Later, as the researcher on the SDP Project, I was to find that the knowledge of cost and time effective strategies for use within schools which developed within that work (Papers 1, 2, 4 & 10), provided the most substantial data on evaluation strategies on this issue from schools and much of the practice was subsequently included in the School Development Plans Project advice (Papers 7, 13; Hargreaves and Hopkins 1991). Findings on the SDP Project were that whilst most schools were undertaking a review process using various check lists and so on, few had successfully moved to a review, implementation and evaluation cycle. Those who had, reported that the process of working collaboratively to do this was a very positive experience.



That 'teacher collection and organisation of data' (i.e. teacher-researcher activities) was part of the recommendations of the School Development Plan Project was confirmed by Hopkins, one of the directors, speaking at the SHA president's inaugural conference (Education, 20/10/95, p.14). Hopkins, himself, has a strong background in teacher-based research, (see, for example, Hopkins, 1993).

Thus the evaluation strategies proposed as a result of the research in the SDP Project were designed to be fitted into the routine of the school. Wilcox (1992, p.15) considered that this approach was successful and that the evaluation approaches espoused by the SDP Project were a useful contribution to the problem of effective school-based evaluation:

The merit of the proposals from the SDP Project is that they focus self-evaluation on to very specific priorities and targets. The approach is therefore likely to overcome both the unrealistic comprehensiveness and general vagueness of purpose which characterised some of the early efforts in self-evaluation.

(Wilcox, 1992, p.15)

The work on the School Development Plans Project convinced me that for the quality of work carried out in schools to improve, work at the individual school level was not enough; national commitment to change is required. The national context so often seemed to constrain what could be accomplished through internal quality processes. The DES was, for example, expecting schools to prioritise development, to set out their plans so that they could be publicly scrutinised yet they had no such plan themselves - unlike for example, the Queensland Education Department which produced its own plan which all schools were asked to display in staffrooms. The

Corporate Plan 1995-1999, for example, (Department of Education Queensland, 1995) shows evidence of sustained planning practice over a considerable period.

Reviewing the problem of lack of coherent planning in the education system in Papers 16 and 21, I argue for a holistic approach to the management of the education system. It is interesting to note that now, five years on, the white Paper *Excellence in Schools*, (DFEE, 1997a) calls for LEAs to have development plans.

By the eighties, pressure for the use of quantitative performance indicators to judge schools was growing (DES, 1988b; OECD, 1988). Papers 3 and 5 were intended to counter this mechanistic approach and to support the identification of qualitative indicators. Later, the advice from the SDP Project included this concern for qualitative indicators to be used alongside quantitative indicators. The use of the term 'Success criteria' was developed with teachers and included in Paper 4. This was used instead of 'performance indicator' to give a positive focus to goal setting and this approach was adopted by the SDP Project (Paper 13) causing political difficulties with project funders. Appendix E, an extract from an action plan within one school's 1996/97 Development Plan provides an example of this terminology being used and demonstrates the application of the approach outlined initially in Papers 4 and 10, and later in Papers 8 and 11. Papers 8 and 11 were the official papers from the project which were sent to all schools in the UK. (Note: The school providing the example in Appendix E was a school with which I have been closely involved for many years, which did not undertake development planning prior to it becoming a requirement of



OFSTED. So I feel justified in using Appendix E as an example of an outcome from the project's advice.) Recent developments in target setting can be seen to be a development from this work (Clayton, 1997).

Paper 3 provides the political background to DES advice on developing performance indicators which admittedly has had the effect of sharpening the focus in education on outcomes and pupil achievement in terms of examination grades. When, in 1988, LEAs were asked to respond to DES consultation on this topic, the task of preparing a briefing Paper for this fell to me. I tracked the concept back to Treasury papers and the armed forces where the accountants' concern to achieve 'value for money' had considerable impact. This research into the origins and applications of performance indicators brought to light the practice recommended by the Coverdale organisation about the use of success criteria as providing a positive focus on outcomes.

Paper 5, a joint Paper with David Hopkins incorporating Paper 3, shows how thinking in the LEA was taken into the public domain. For the first time I saw how thinking at LEA level could be more widely disseminated. It had not occurred to me that this work was of interest to anyone except those in the LEA.

When David Hopkins and David Hargreaves obtained funding for a research project to study best practice in development planning and I was appointed to be project officer, I saw the same process occur with the dissemination of ideas from local LEA



thinking on development plans. Innovations developed at a local level by teachers seeking to improve their practice were recorded, analysed and then published to a wider audience by university based researchers.

An analysis of how local innovations developed by teachers (in this case in evaluation and planning strategies) came to be disseminated nationally, suggests the following process occurred:

- new practice emerged from collaborative problem solving;
- HEI staff were working closely enough with LEA staff to find out about innovative practices;
- HEI staff undertook research to test the ideas;
- strategic dissemination strategies which went beyond refereed journals for academic audiences were employed;
- in this case, government ensured national implementation by bringing in requirements for schools to have development plans, but where the ideas are powerful enough, this intervention may not be necessary. It could be, that this model of collaboration between teachers, LEA staff and university staff could be powerful enough to ensure politically imposed change is resisted, or at least, challenged by what is potentially a powerful alliance.

### **3.1 The limits of rational approaches to change: the normality of chaos**

I admit that my approach and views are based on an implicit belief that in some contexts, change can be undertaken as a rational process and that this is a characteristic of modernist theorists which postmodernists challenge. Carr (1995) disputes the ideas put forward by some postmodernist theorists that attempts to impose order and rational approaches are doomed to failure and are against the nature of man. My own view is that chaos is normal but that it is human nature to seek order. At the same time, human beings create chaos through the micropolitics operating in interpersonal relationships and within organisations. Whilst recognising this and acknowledging the influence of micropolitics raised by Ball (1990b) and Davies (1994), it is argued that the alternative to attempting to achieve rational change is to accept chaos and that operating in a chaotic system is disempowering. Gunter (1997) takes up the theme of applying rational models in chaotic situations and she argues for 'chaotic reflexivity' as an analytical strategy which managers might adopt.

#### **Summary**

A question in my mind as I undertake this review is whether there should/could have been a short cut to reaching the understanding I have about how the HEI researcher, schools and LEAs can together provide a force for change in the education system

independent of government and, extending this idea, how such a professional triumvirate could be a force for resisting government imposed change.

It occurs to me that the denigration of the work of initial teacher educators in universities by government which is a feature of national discourse on education, is possibly a recognition of the threat such collaboration would pose to government-held power over the profession.

In the next section, the way in which ideas on development planning developed by teachers in LEAs came to have an impact on the professional knowledge base is discussed.



## STAGES IN THE IDENTIFICATION OF THE MODEL :

### SECTION 4

**Fourth Stage:            Building on local innovation to provide advice for whole system change - the example of the School Development Plans Project**

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#### Introduction

Was there really a time when planning in schools was *ad hoc*? It is evidence of the success of the work on school planning over the last decade that planning is now part of normal practice and action plans (Papers 4, 7 & 10; NFER, 1995) are an accepted tool for planning and managing change (OFSTED, 1995a; DFEE, 1996). The political context for this shift is discussed in Papers 5, 11 and 15. In this section, the way in which local practice has an impact on national advice is discussed.

The practice of development planning which, in the nineties, has become established practice in schools throughout the country, did not develop in isolation. Initially, it followed an evolutionary path linked to developing practice in school review. Paper 15 traces the background to school development planning and was written for academic reasons to record the history of development of the process. By the mid-eighties in the UK, practice in some LEAs, such as ILEA and the London Borough of Enfield (ILEA, 1985; Goddard, 1985; Hutchinson & Byard, 1994), was well

developed and knowledge about the practice seemed to be slowly spreading through professional networks. A confidential HMI survey carried out for the SDP Project and the work of Hutchinson and Byard (1994) confirmed this assessment of the origins of school development planning - that in the eighties, practice was developing in some LEAs whilst in other LEAs little planning support for schools was available. What the School Development Plans Project did was to collect data about local practice and, through analysing the successful practice in schools which had taken up the process voluntarily, to provide advice which was disseminated nationally. Appendix F provides a definition of a school development plan and a description of the planning process which arose from the work of the SDP Project (Papers 7, 8, 9, 11, 12, 13 & 15). Papers 7, 8, 9, and 13 were the official outcomes of the project.

The fact that knowledge about planning was becoming publicly available at a time when schools were being required to manage a host of new initiatives (Goddard and Leask, 1992), and that the approach was supported at national level by the DES and HMI, provided strong stimuli to developing professional practice (Beresford *et al*, 1992). In this section, the origins and impact of school development planning are discussed in some detail. The path of the changes in school management practice has not been smooth however and this section concludes with a critique of some aspects of current practice in school development planning.

#### **4.1 The School Development Plans Project**

There are times when the right idea comes to the fore at the right time. In 1988, the idea for a national research project, which would investigate and report on developing practice in school development planning, was put by Prof. David Hargreaves (Cambridge Department of Education) and Dr. David Hopkins (Cambridge Institute of Education) to the Department of Education and Science (now the Department for Education and Employment). The need for the education profession to have advice in the area of school management was recognised in the interim and in the final reports of the School Management Task Force (SMTF, 1990), which was investigating practice in the late 1980s. Schools were also having to manage a large number of new initiatives. The move to delegated budgets, coupled with the extension of governors' powers (Hemmings, Deem and Brehony, 1990), the implications of the 1988 Education Reform Act and the increased pressure for external accountability provided imperatives for planning practice to improve. Papers 3, 5, 6, 10 and 17 provide the context for these issues.

At this time, the DES gave financial support to the School Development Plans Project which was to be based at the University of Cambridge Department of Education. The project spanned the period 1989-1990 and the project's brief was to provide national advice for schools in development planning by identifying best practice in the field.



The core project team consisted of three members - one research fellow (full-time) and two directors (part-time). Two team members were from LEAs with extensive school development planning experience and one had national and international experience of school improvement. I was the research fellow for the project. There were two phases to the project. In both, the core project team was supported by an extended team of educators from schools and LEAs across the country who were trained in research methods as part of the project. The extended team collected data, wrote case studies, worked with schools, disseminated information about the project and acted as 'critical friends' to the project. Appendix A provides details of the methodology employed.

At the time, the school development planning process was seen as a mechanism for providing a coherent framework within which to manage the changes required by a host of new initiatives, for example, the national curriculum and local management of schools.

## **4.2 Adding to the professional knowledge base**

That the School Development Plans Project made a substantial contribution to professional knowledge and practice can be assessed by examining the literature of the area before and after the project. It was also influenced by developing practice in

other countries as discussed in Paper 15. For example, Crandall (1986) makes mention of ‘school improvement plans’ in the USA.

Hopkins (1987), in reporting the lessons from the OECD International School Improvement Project, did not mention development planning under any of its guises. He did, however, mention the School Based Review systems, which paved the way for more structured approaches to school development and laid the basis for the development planning process. Cave and Wilkinson (1990) edited a text entitled *Local Management of Schools: Some practical issues*, which, although it was published in 1990, did not mention the process of development planning. The book was written at the time the research on SDPs was being undertaken. However, they did mention the introduction of performance indicators (which were just being developed in education) as an evaluative tool.

Marjoram (1989), in *Assessing Schools* published in 1989, did not mention planning yet he included great detail about the various functions of the school and what HMI might look for. McMahon and Bolam (1990) published their *Handbook for Secondary Schools* in 1990 and again no mention was made of development planning. The focus of this book was on the self-review process which, as has been pointed out, paved the way for the development planning process.

That the work of the SDP Project had significant impact can be estimated by the extent to which it seems to be taken as a base line for management work in schools in the mid 1990s. From a situation pre-1990 when school development planning did not feature in books about school management, it is difficult to find any educational management text written since 1990 which does not mention school development planning and which does not reference the published outcomes of the project - either the DES sponsored publications (Papers 7 & 13) or *The Empowered School* (Hargreaves and Hopkins, 1991).

Within a few years, the school development plan seems to have become an accepted tool for development and management of change (see for example, Donnelly, 1992; Rogers, 1994; Jones and Mathias, 1994; Smith, 1995; OFSTED, 1995a, p.21, 1996; TTA, 1995, p.13; Bowring-Carr and West-Burnham, 1994, p.28, p.59, Bush, 1995). Its benefits now that it is used for accountability purposes need to be reassessed. It may be contributing to the increasing teacher stress that Bowring-Carr and West-Burnham identify (1994, p.1) However, it is beyond the scope of this work to probe this issue. Donnelly, (a school head), in editing a book on school management, spoke of school development plans as an established feature of good management:

The school development plan is the way in which a school now sets out the direction in which it wishes to move in a clear and specific way. Properly prepared - which means of necessity that all staff must be involved in its production - it allows progress to be measured and new targets to be set annually.



Development planning then becomes a continuous process of target-setting, implementation, evaluation and further target-setting, with each successive year taking the school further forward.

(Donnelly, 1992, p.23)

As Donnelly pointed out, development planning is a process in which staff at all levels should be involved. Professional development programmes usually include school development planning work (Merrick, 1995; Capel, Leask and Turner, 1996).

Since the distribution of the first publication from the School Development Plans Project (Paper 7), there have been a number of books produced on development planning. Examination of these shows the extent to which they have adopted the principles outlined in the SDP Project documents. Rogers' text *How to write a School Development Plan* provides just one example (Rogers, 1994). There is no attribution of the origin of the terms, yet the terminology used - audit, action plan, criteria for success and the developmental planning model are all clearly derived from those developed by the SDP team from the synthesis of the data collected on the SDP Project. Rogers' text implies that this terminology is now in general usage.

Other approaches to improving planning in schools have also been developed. The development planning project was, however, just one project related to school improvement in the period. In Papers 16 and 17 other approaches were discussed in detail. For example, significant pressure for change came from what can be called the *total quality* movement. Methods for quality control developed in industry by

Demming (Kennedy, 1991; Sallis, 1993; Doherty, 1994) found particular favour with some educationalists during the period - the TQM (Total Quality Management) movement is based on Demming's principles. International and British Standards for quality in the management process (ISO9000, BS5750) were taken up by educationalists, too (Bush and West-Burnham, 1994). Papers 16 and 17 analyse the issues. Ball (1997) raises concerns about the impact of TQM (and associated theories of human resource management (HRM)) on individuals which suggest that these initiatives are the very opposite of empowering:

Viewed critically, TQM, HRM etc. develop and instill self-surveillance and mutual surveillance. Professionalism is replaced by accountability, collegiality by competition and interpersonal performative comparison. These are forms of power which are realised and reproduced through social interaction within the everyday life of institutions. They play upon the insecurity of the disciplined subject.

(Ball, 1997, p.261)

These movements affected FE colleges and universities more than schools. Whilst schools were being encouraged by the DES and LEAs to take up the school development planning approach, The Staff College<sup>5</sup>, a key provider of training courses for FE and HE, was providing courses on the TQM approach.

One not dissimilar scheme developed at the time, which seems to have successfully crossed the industry/education divide, is the Investors in People scheme. This scheme

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<sup>5</sup> The Management Development Centre for Further and Higher Education, The Staff College, Coombe Lodge, Blagdon, Bristol.



has a philosophy in common with that underpinning the early work on the school development planning process and it is interesting to note the coming together of educational discourse on empowerment and discourse in industry. The philosophy of Investors in People is people-centred - that an important part of improving quality is the empowering of staff so they can improve their own work (Taylor and Thackwray, 1995). Appendix G showing the 'National Standard for Effective Investment in People' makes clear this philosophy. Storey (in Ellis 1995, p.45) emphasises the focus on supporting individual growth through using a TQM approach. One publication from TQM supporters explicitly brings the school development planning approach and TQM together (Jones and Mathias, 1994). Jones and Mathias pointed out the benefits of undertaking TQM with specific reference to the SDP documentation.

There has been some criticism of the approach to planning espoused in the SDP documents because it appears to fall within what could be called a rationalist managerialist approach to system development. A criticism is that the interplay between personalities in a working situation is largely ignored. Everard & Morris (1990) for example, discuss the managerial qualities needed to handle change, and they identify different types of different key qualities which enable people to cope with change or not. The fact that change is complex and that people with certain sorts of personalities and philosophical perspectives find change difficult surely does not mean that one should not plan for change. Much of the criticism of the school development planning movement really fails to acknowledge this fundamental



problem that people are different. The approaches that work for some will not work for others. The complexity of the change process is illustrated by the large number of personality variables identified by Everard & Morris (1990, p.243-245) who cite Stewart (1983) giving the following 'characteristics of people who are good at managing change:

- 1) They know clearly what they want to achieve.
- 2) They can translate desires into practical action.
- 3) They can see proposed changes not only from their own viewpoint but also from that of others.
- 4) They don't mind being out on a limb.
- 5) They show irreverence for tradition but respect for experience.
- 6) They plan flexibly, matching constancy of ends against a repertoire of available means.
- 7) They are not discouraged by setbacks.
- 8) They harness circumstances to enable change to be implemented.
- 9) They clearly explain change.
- 10) They involve their staff in the management of change and protect their security.
- 11) They don't pile one change on top of another, but await assimilation.
- 12) They present change as a rational decision.
- 13) They make change personally rewarding for people, wherever possible.
- 14) They share maximum information about possible outcomes.
- 15) They show that change is 'related to the business'.
- 16) They have a history of successful change behind them.

They go on to identify categories of knowledge, skills and personality characteristics for managing change:

*Knowledge of*

- (1) people and their motivational systems - what makes them tick;
- (2) organizations as social systems - what makes them healthy and effective, able to achieve objectives;
- (3) the environment surrounding the organisation - the systems that impinge on and make demands of it;
- (4) managerial styles and their effects on work;
- (5) one's own personal managerial style and proclivities;

- (6) organisational processes such as decision-making, planning, control, communications, conflict management and reward systems;
- (7) the process of change;
- (8) educational and training methods and theory.

*Skills in*

- (1) analysing large complex systems;
- (2) collecting and processing large amounts of information and simplifying it for action;
- (3) goal-setting and planning;
- (4) getting consensus decisions;
- (5) conflict management;
- (6) empathy;
- (7) political behaviour;
- (8) public relations;
- (9) consulting and counseling;
- (10) training and teaching.

*Personality characteristics:*

- (1) a strong sense of personal ethics which helps to ensure consistent behaviour;
- (2) something of an intellectual by both training and temperament;
- (3) a strong penchant towards optimism;
- (4) enjoyment of the intrinsic rewards of effectiveness, without the need for public approval;
- (5) high willingness to take calculated risks and live with the consequences without experiencing undue stress;
- (6) a capacity to accept conflict and enjoyment in managing it;
- (7) a soft voice and low-key manner;
- (8) a high degree of self-awareness - knowledge of self;
- (9) a high tolerance of ambiguity and complexity;
- (10) a tendency to avoid polarizing issues into black and white, right and wrong;
- (11) high ability to listen.

(Stewart, 1983, in Everard & Morris, 1990, pp.243-245)

It is clear that the School Development Plans process can be seen to impose too rigid a structure on what is really a much messier, organic process. Ball (1994b) and Brennan (1996) attacked the approaches espoused by the SDP Project for these



reasons. The approach has gained some supporters however. For example, the School Management Task Force report in 1990 identified positive support for planning in the profession:

Overall the move towards institutions, curriculum and staff development plans was welcomed within a framework of LEA support and guidance.

(School Management Task Force, 1990, p.11)

Habermas (1973) quoting Luhmann (1969) is scathing about those who take a structuralist approach (which I admit the SDP Project approach is to some extent). As the development plan itself is becoming a tool for outsiders (OFSTED) to use to judge a school, this undermines the original role of the SDP Project in recording the outcome of a more self-critical but private organic process which enables the development and articulation of a shared vision about the school's development. Ball (1994b), Brennan (1996) and Hamilton (1995), warned against the adoption of simplistic notions of school effectiveness and development. There is currently a danger that the plans detailed in the school's development plan can be seized upon as providing some such simplistic measure of effectiveness.

A concern about the danger that rational approaches to change, such as that offered by the SDP process, appear to offer too easy solutions, is not new. Minogue (1983) wrote of 'the comfortable rationality of systems theory' and, furthermore, commented that managerialist approaches run the danger of ignoring policy issues.

... the contribution of the managerialist, and of managerial ideologies, is always in the long run likely to be inferior to the contribution of the policy analysis and of



policy studies. This is a debate of considerable appositeness at a time when the ideology of management has made strong progress in numerous state bureaucracies, and where 'better management' is all too frequently and simplistically offered as a solution to what is said to be the central problem of bureaucratic inadequacy; whereas the real issue is that of policy failure.

(Minogue, 1983, p.14)

This criticism deserves serious consideration. The continuing thrust of school improvement research seems to be away from the examination of policy. It focuses on management - of people, resources, the classroom environment and on teacher quality (TTA, 1995). Hamilton's concerns (1995) about the political factors driving school effectiveness research serve as a warning of the dangers of the loss of academic independence of thought in the market driven economy in which higher education institutions are finding themselves:

...research is pulled by the market place rather than steered by axioms and principles. It becomes product-oriented. Sponsored by powerful quasi-governmental agencies, this package is placed - and generously hyped - on the global cash and carry market for educational products.

(Hamilton, 1995, p.4)

Ball (1994a) and Brennan (1996) criticized approaches to planning and development which are too objectives driven and goal oriented and ignore the micropolitics of a situation. Clearly, the school development planning process can be operated in this way, although that was not the original intention.

Hoyle (1988, p.256), too, commented on the micropolitics inherent in organisations, which can undermine attempts to plan rationally:

Administrative theory often underestimates the plurality of interests in organisations because it tends to be attuned to organisational goals as determined by the leadership. That there are interests other than those of organisational effectiveness has of course long been taken into account by most administrative theories, but they nevertheless then have to be treated as recalcitrant, a suitable case for leadership, or socialisation or coercion. It is beyond the scope of this Paper to offer a taxonomy of interests, but any classification would at least include personal, professional and political interests. Personal interests would include autonomy, status, territory and rewards. Professional interests involve commitments to particular forms of practice: curriculum, pedagogy, organisation and so forth. Political interests involve a commitment to certain macro or party-political policies. It is easily seen that, taking these three areas of interest alone, it is difficult to disentangle the personal, the professional and the political at a substantive level. The tendency is perhaps for personal or political interests to be presented in terms of the professional, since normatively this is the most 'respectable' form of interest in education. Thus a proposed innovation which threatened the territorial interests of a teacher might well be resisted by mobilising 'professional' arguments against it. Similarly, political interests can be presented as professional interests.

(Hoyle, 1988, p.257)

It would seem that the process of school development planning may not always proceed as smoothly as might be implied by some of the early documentation (Paper 7). Indeed, the process has the potential of becoming the antithesis of what the School Development Plans Project team and other early proponents intended. The process can become an accountability tool rather than a tool for empowering staff to work together for the planned implementation of change. This applies particularly where the school development plan has become a tool for external accountability. Since the financial crises of the early seventies and the subsequent limitations on resources, educationalists (among others in the public sector) have been faced with demands for increased accountability to funding bodies, the application of cost-effectiveness measures, and the requirement to provide value for money. Levacic (1989) and Papers 3 and 17 explore these issues in detail. The Audit Commission has played its role in



changing the methods of accountability in educational institutions (Audit Commission, 1991). The DFEE, OFSTED and the Teacher Training Agency clearly see a role for the school development plan as providing evidence to be used in inspection and to account for resource deployment (TTA, 1995; OFSTED, 1995a; DFE, 1995). As originally conceptualised in this country, SDPs were meant to have positive effects on school cultures. They were intended to be internally generated documents used to help the institution manage change and move forward on the areas that were considered priorities. Using the plan to underpin the inspection process undermines these original purposes.

Clearly, the complexity of the emotions and reactions of individuals restricts the degree to which a rationalist approach can be applied. The SDP process depends on establishing shared values, and, although school managers may recognise that the development of these is an important goal, inevitably the chaos inherent in interpersonal relationships will interfere with the best laid plans. However, in spite of these inherent limitations, the SDP process seems to have become an accepted way of planning and evaluating change.

Highett (1992), writing about developments in Australia, suggested that by the early nineties, school development planning was being undertaken world wide:

The implementation of school development planning is part of a movement among education authorities in the western world to devolve accountability and quality assurance mechanisms to the local school level.

(Highett, 1992, p.17)



The publications of Dempster *et al* (1995) and Logan *et al* (1994) provided some evidence that the School Development Plans Project has had some international impact. Dempster and Logan are part of an Australian team working on a national project on school development planning. In their work, they acknowledge the impact in the UK of the work of the SDP Project and in reporting the findings of the Australia-wide research project on SDPs in primary schools, they quoted substantially from the UK SDP document circulated to schools nationally (Paper 7).

The bibliography of a recent Australian Paper (Dempster *et al*, 1995), whilst not referring to the Cambridge project, cited no development planning literature before 1989. The earliest paper cited on development planning in Australia is a Queensland State Department of Education document for 1989. Most LEA documents in the UK are also of this date and it seems reasonable to claim that the Cambridge SDP Project provided a significant impetus for international developments in this field - LEAs were alerted early in 1989 to the advice being sent to schools so that they could prepare training (Papers 8 & 9).

Most of the literature Logan and Dempster cited covers the period 1994-95 and they make the claim that SDP practice has become embedded in Australian primary school practice:

An analysis of the survey data and official documentation from both the government and Catholic school sectors shows that SDP already has become common practice in almost every primary school in Australia.

(Logan, Sachs and Dempster, 1994, p.5)

### **4.3 Where next?**

There is a stream of developing professional knowledge (professional discourse) in the field of education, to which successive generations of educators contribute. The direction of the stream is by no means certain - it can be strengthened or it can be diverted, diminished or dammed in inappropriate ways by political forces (or indeed educators). A diversion of the original thinking seems to have happened to some extent with the work on evaluation and school planning. The roots of this work were in developing good practice in schools but later the ideas became incorporated in national inspection procedures. The concern for school improvement, of which the changes in development planning and evaluation were a part, seems similarly to have been institutionalised. The school improvement movement appears to have been taken over by government. What started as a movement based on LEA and school concern to raise achievement has become a central focus of concern for politicians and for educators (Mortimore, 1994). School improvement seems to be an attractive research area for governments to fund - it focuses blame on the teachers, the schools, and the teacher trainers away from government and the conditions in the community and society as a whole. The process and outcomes of school development planning have

been similarly hijacked by government - sound planning and evaluation procedures are among the criteria of effectiveness applied by OFSTED (1995a).

In any case, important though school improvement may be, there are issues about attitudes to teachers and education which require a whole systems approach to their solution. In Papers 20 and 21, I call for a holistic approach to change in education based on a vision of long term goals. The current intensity of focus on individual school's performance (in the UK) and the individual failing teacher (see for example, The Guardian, 11/4/96, p.16) may have, it is suggested, the effect of focusing too much attention on one aspect of the functioning of the education system to the neglect of others.

## **Summary**

When school development planning was introduced in the 1980s, it was seen as a vehicle for empowering individuals and the schools (Papers 11 & 18). The process of planning was seen to provide analytical and planning tools which could be employed to improve the functioning of the school in areas identified by staff. This focus appears to have become lost in some schools as the planning process has become a tool for accountability rather than improvement. In some schools the original values driving the innovation have undoubtedly been lost.



In the next section, the ways in which the professional discourse on planning methods supporting the handling of multiple initiatives (development planning) became subsumed into the political discourse on planning and accountability are discussed.

## **STAGES IN THE IDENTIFICATION OF THE MODEL :**

### **SECTION 5:**

**Fifth stage: Parallel discourses, the hijacking of the professional agenda and the recent political context**

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#### **Introduction**

So, from providing a set of tools developed by professionals, the School Development Planning process became part of a political agenda for accountability. How did it happen?

#### **5.1 Political discourse, professional discourse and the development of professional knowledge**

Politicians and policy makers at the national level clearly influence the development of professional knowledge - through legislation and through fiscal control - the discourse of power. But professional knowledge is also developed from practice, for example, in schools and LEAs. Among educators, professional discourse, i.e. new knowledge and new ideas about educational practice, flow through networks of educators in schools, LEAs and Higher Education Institutions, who have a shared interest in investigating and improving practice. The Classroom Action Research Network (CARN) is an example of such a network; professional associations provide other networks. In Papers 32 and 39 I point out how the work in this submission has

been influenced by the professional discourse taking place in various networks. The two discourses, political and professional in many respects run parallel. Development and sharing of ideas among teachers continues regardless of government and the impact of government policy-making on any teacher depends on the responsibilities of the individual. At times, the two discourses are mutually supportive, at other times, they clash. Professional collaboration through networking gives rise to streams of developing professional knowledge which flow through the system as network members undertake their daily work. At times some of the papers submitted here may have influenced the professional discourse (e.g. through papers publicising school development planning work to different audiences, see also Wilcox, (1992)), and at times they have drawn on this discourse (e.g. Papers 15 & 20) through building on school-based review practices generated from within the profession.

School development planning practice grew out of professional discourse taking place about management styles and school-based review (Papers 18 & 19). These papers demonstrate how SDP practice developed from the professional discourse about both the NFER supported IMTEC approach (Dalin *et al*, 1986) and Schools Council supported Guidelines for Review and Development (GRIDS) (McMahon *et al*, 1984) school-based review approaches as being concerned with collaboration and top-down management styles. The problem Simons saw with GRIDS and the IMTEC alternative was in her words that they ‘lacked a rationale for creating shared experiences within the school’:



GRIDS, it is true, is a concept of collective enquiry on a collaborative basis calling for the whole staff to be involved, but the model of the school it evokes and reinforces is one of leadership and management from the top, with teachers consulted at each stage of the cyclical process. Although this entails the departure from totally autocratic styles of decision making in schools, it does not challenge in any significant way the organisation hierarchy or the prerogatives associated with the distribution of power within institutions.

(Simons, 1982, p.233)

This debate about styles of management particularly with regard to review processes prompted a collaborative model of planning (Goddard & Leask, 1992, Papers 18 & 19).

## **5.2 Hijacking the professional agenda**

That locally based professional practice in planning was disseminated nationally through the publications and influence of a Department of Education and Science funded research project (the Cambridge University based School Development Plans Project) is an example of the coming together of professional and political discourses. School Development Planning practice was developing in several LEAs in the mid to late eighties and the DES funded research into the area so that national practice could be developed. The way in which what was a local innovation of school development planning became part of a national imperative on planning provides an example of how the current of developing professional knowledge (professional discourse) can be tapped (hijacked) by politicians.

Examining the development and dissemination of practice on school development planning provides an interesting example of where professional and political discourses appeared to become self-reinforcing and mutually supporting. Professional and political needs were, on the surface, complementary. It was later that the corrupting effect of this liaison became apparent. However, these practices of development planning in the form shaped particularly by political pressures are now widely accepted, encouraged by HMI and formalised in a variety of documentation (Audit Commission, 1991, p.22; OFSTED 1995a). Examining the process by which this happened provides evidence of how new ideas become embedded in the professional knowledge base.

### **5.3 Discourses on empowerment, quality and accountability**

Concern about management styles both in education and industry was evident during the 1980s and early 90s and the professional discourse in education on empowerment reflects this - this was a feature of the development planning process (Goddard & Leask, 1992). Apart from the development planning approach in education, a number of industry-originated initiatives became prominent, emerging from the discourses in industry about empowerment, and were adopted by some schools: TQM (or Total Quality Management), liP (Investors in People), and the MCI (Management Charter Initiative). Papers 3,16 and 17 discuss the relevance of these to education. Quong &

Walker (1996) report positively on the application of TQM to the school context - particularly on the empowerment perspective.

The similarities between the process in school development planning and total quality management are evident from the following quotation where Quong and Walker give the definition provided by Blunt (1993, p.3)

- there is a customer focus (focused on student needs not teaching outcomes);
- a focus on processes not people (on TQM it's assumed that every teacher wants to do a good job, but that processes can sometimes stand in their way);
- continuous improvement (do not rely solely on large planned change, but constantly seek small improvements in process);
- participation or total employee involvement (the people who do the job know best how to improve it).

(Quong and Walker, 1996, p.222)

Quong and Walker go on to talk about the empowering potential of the TQM approach:

The most common 'structural' sign of TQM in progress is the inverting of the traditional hierarchical management structure (pyramid) and the appearance of *quality improvement* or *functional teams* that truly empower staff to make decisions (without approval of higher authorities) and to be involved in continuous improvement. In other words schools that change, moving away from the sole emphasis on top-down hierarchy of Principal, Deputy Principals, Faculty Heads and Teachers, develop other structural forms that focus on empowering staff and improving the processes of learning ....

(Quong and Walker, 1996, p.222-3)

TQM, then, is a philosophy of management for schools that requires them to change both how they think and how they are. It is all about empowering the people closest to the client to make decisions about how best to improve. In



schools this means the teachers, not just the administrators, working together to improve teaching and learning. Perhaps the most influential of TQM beliefs is that of continuous improvement.

(*ibid*, p.224)

(As the quote by Ball on page 77 indicates TQM can also be experienced negatively.)

Similarly, the LiP programme focuses on empowerment. Appendix G, the National Standard for Effective Investment in People, provides the detail.

The examples of TQM and LiP are included to show that the discourse on empowerment was not confined to education professionals. Similarly, the discourse on quality and accountability at the time was across sectors. Papers 3, 5 and 17, for example, provide details of these issues which include value for money, performance indicators and accountability mechanisms.

Although the SDP Project had been set up to establish most effective processes used by schools, there were a number of unintended outcomes. The whole management approach of each of the schools under scrutiny was documented. The data was rich in information about processes, the micro politics in organisations, the impact of top-down and bottom-up approaches to management, varieties of approach to the management of change. The uncertain role of governors was revealed (see also Deem and Brehony, 1990). Communication processes, financial processes, personnel processes were all exposed in the collection of data. In addition, the view of a whole

range of professionals across the country about the impact of government induced change was collected. This data, which was not published officially, influenced my contributions to the text, *The Search for Quality*, (i.e. Papers 16 - 21). At the same time that the practice related, improvement focused research was being undertaken, debate about the nature of society was occupying many philosophers in education. This debate challenged notions of the role of education and educators in society and touched on change, values, structures and purpose of research.

Questions are raised in this debate (between modernist and postmodernist views of how society functions and changes) about appropriate actions for educators. It is acknowledged that the papers presented in this submission are written within a modernist framework relating to change in education.

#### **5.4 The philosophical context: postmodernist pessimism and modernist optimism about change**

At the national level under the Conservative Government, there was a constant struggle among different political groups for the power to influence policy.

Tomlinson (1993) provides a detailed account of the period. Ball specifies particular changes in power structures:

The fragile, progressive consensus based on incremental change and school and LEA autonomy has been replaced by conflict and contention and the assertion of greater centralised controls.

(Ball, 1990b, p.8)

During the period of Conservative Government there was rapid change as Secretaries of State for Education came, introduced major changes and went, without seeing through these changes.

Ball (1994a) acknowledged the tensions in policy making at national level in his examination of how 'traditionalists' wrested power from 'modernizers' and 'progressive vocationalists' in the eighties.

...the losers in the policy making arena were a coalition of educational 'modernizers': a loosely constituted group made up of 'new progressive' educators, especially from the science and mathematics education communities, and 'progressive vocationalists' representing the educational concerns of many of the UK's largest multinational companies.

(Ball, 1994a, p.30)

In some senses then, the 18 years of Conservative Government were a period of an unremitting war of values - of the imposition of a new set of values on an older set. The older values of one nation Toryism were characterised by consensus and benign capitalism. The values of Thatcher's Toryism of the 80s and 90s were characterised by competition, individualism, a valuing of those members of society who made money.

This philosophy in practice devalued the work of intellectuals and, in my view, led to the development of a passive victim culture among some intellectuals. In



seeking an explanation for their own lack of influence they seized on postmodernist theory<sup>6</sup> as providing the explanation for their powerlessness.

Admittedly, the anti-intellectual trends in government approaches to education over this period coupled with the trend towards pragmatism and reducing teacher education to a skills-based profession did lead to a diminution of work in the academic disciplines and in the loss of academic jobs in schools of education. So academics who felt that disintegration was inherent in the system and that traditional values could no longer be taken for granted were correct in their analysis.

At the time of writing, six months after the 'new Labour' victory, it is difficult to be sure of the values which will shape education policy over the next few years.

Indications are that these will be modernist<sup>7</sup>. The White Paper, *Excellence in Schools*, (DFEE, 1997a) promises policy shaped by modernist values of collaboration and community and professional responsibility. In this Paper, David Blunkett, Secretary of State for Education, speaking of the need for individuals to work together, said:

Lifting the morale and motivation of those who work in our schools, colleges and education authorities is as much about self-esteem and a belief that we really can succeed, as it is about anything that central government can do. That is why, in offering a 'can do' Government, we are asking for a 'can do' profession.

(Blunkett in DFEE, 1997a, p.2)

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<sup>6</sup> Definitions of terms are provided in Figures 5.1 and 5.2.

<sup>7</sup> Definitions of the terms modernist and postmodernist are provided in Tables 5.1 and 5.2.

As mentioned earlier, Barber, an advisor to the Labour Government, talked about a 'missionary' government and proposed a modernist vision of change. He said 'it seems to me this is broadly the approach required in the five years ahead, if the government is to lead a crusade for higher standards' (Barber, 1997, p.88). The missionary approach, he suggests, should be applied to OFSTED, DFEE and QCA.

These ideas of positive collaborative work and clear beliefs in the direction to be taken are at variance with the values of the previous government as identified by Morrison (1996). He argues that "one can detect control on a structuralist and postmodernist agenda in the government's education policies and that behind the rhetoric of postmodernist freedom, individuality and choice, is the clear hand of a government 'steering at a distance' " (Ball, 1994b, p.56). I have some sympathy with his view that what is needed is:

...an alternative structuralist account - a communicative model of society, set out by Jurgen Habermas - can combine with an ideology-critical and diachronic postmodernism (Saussure, 1983) to constitute an agenda of resistance to the illegitimate exercise of control and a reaffirmation of the individual and societal empowerment within an emancipatory education.

(Morrison, 1996, p.164)

I suggest that the 'creation of the living educational theories' (Whitehead, 1996) by teachers and HEI staff working together, provides an example of how Morrison's notion of empowerment can take place providing a professional environment for the resistance of change.

Papers 16 to 21 were written in a sense, as part of the 'agenda of resistance' identified by Morrison. I felt that the teaching profession was entering a 'dark age' where the empowerment model of professional development/school development of the 80s would be destroyed. I invited Del Goddard to contribute to this book because of his vision for education, which, as the unpublished data on the SDP Project reveals, inspired many educators to undertake development planning for its empowering purposes. In Paper 20 and 21 I make the point that the philosophical framework within which decision-makers at national level work is based on a number of flawed assumptions about teachers, children, the process of teaching and learning, and about how change is brought about (p.221). I also identify neglected components in the process of improving quality (p.222). This thinking provides the theoretical base for my views about the HEI tutor's role in policy formation and dissemination.

It will be interesting to see whether the 'crisis in modernity' that Wain (1996) identifies and the concerns he has about rational approaches to change, prevent the realisation of the new modernist goals. His concerns are summed up thus:

Critics of modernity from Weber to Toulmin, to critical theorists like Horkheimer and Adorno, and , more recently, Habermas, to postmodernists like Lyotard and neo-Aristotelians or neo-Thomists like MacIntyre, share a common apprehension of the effect of modernity's ethos of rationality in real terms in everyday life, of how far the need to rationalise things has actually been taken, what form it has acquired, and what its underlying socio-political motives are. Foucault's panopticon society and the note of pessimism critics detect in his writing strongly echoes Weber's account of the rationalisation of modern culture, Horkheimer and Adorno's haunting narrative of a 'totally administered society' domesticated by its 'culture industry' and MacIntyre's account of the manipulative ethos of



modernism represented by the bureaucratic and therapeutic practices of its élite and experts.

(Wain, 1996, p.353)

The tension is, as Wain points out, between individualism and ‘the rationally autonomous self’, the needs of society and the state, and the rights of society and the state to put demands on this rationally autonomous self. Hargreaves (1994, p.8) provides definitions of modernity and postmodernism which are included as Tables 5.1 and 5.2 below.

**Table 5.1 A definition of modernity: Hargreaves 1994, p.8**

Modernity is a social condition that is both driven and sustained by Enlightenment beliefs in rational scientific progress, in the triumph of technology over nature, and in the capacity to control and improve the human condition by applying this wealth of scientific and technological understanding and expertise to social reform. *Economically*, modernity begins with the separation of family and work through the rational concentration of production in the factory system, and culminates in systems of mass production, monopoly capitalism or state socialism as ways of increasing productivity and profitability. In modernistic economies, expansion is essential to survival. *Politically*, modernity typically concentrates control at the center with regard to decision-making, social welfare and education, and ultimately, economic intervention and regulation as well. *Organizationally*, this is reflected in large, complex and often cumbersome bureaucracies arranged into hierarchies, and segmented into specializations of expertise. In the bureaucracies of modernity, functions are differentiated rationally and careers ordered in local progressions of rank and seniority. The *personal* dimensions of modernity have been widely commented upon. In modernity, there is system and order, and often some sense of collective identity and belonging too. But the price of rationality is also a loss of spirit or magic; what Max Weber described literally as *disenchantment* in comparison with premodern existence the scale of organizational life and its rational impersonality can also lead to estrangement, alienation and lack of meaning in individual lives.

Secondary schools are the prime symbols and symptoms of modernity.

Whilst I have some sympathy with Hargreaves’ analysis of modernity, his assumption about organisational structures is perhaps drawn from extreme examples. His application of these principles to secondary school organization is similarly flawed. Surely anarchy is at the opposite end of the spectrum he defines. He goes on to define postmodernity:

**Table 5.2 A definition of postmodernity, Hargreaves 1994. p.8-9**

Most writers locate the origins of the postmodern condition somewhere around the 1960s. Postmodernity is a social condition in which economic, political , organizational and even personal life come to be organized around very different principles than those of modernity. Philosophically and ideologically, advances in telecommunications along with broader and faster dissemination of information are placing old ideological certainties in disrepute as people realize there are other ways to live. Even scientific certainty is losing its credibility, as supposedly hard findings on such things as decaffeinated coffee, global warming, breast cancer screening or even effective teaching are superseded and contradicted by new ones at an ever increasing pace. Economically, postmodern societies witness the decline of the factory system. Postmodern economies are built around the production of smaller goods rather than larger ones, services more than manufacturing, software more than hardware, information and images more than products and things. The changing nature of what is produced along with the technological capacity to monitor shifts in market requirements almost instantaneously reduce the need for stock and inventory. units of enterprise shrink drastically in scale as a result. Flexible accumulation is now the driving economic principle as profitability becomes dependent on anticipation and rapid responsiveness to local and changing market demands.

Politically and organizationally the need for flexibility and responsiveness is reflected in decentralized decision-making, along with flatter decision--making structures, reduced specialization and blurring of roles and boundaries. If the organizational metaphor of modernity is the compartmentalized egg-crate, then that of postmodernity is the moving mosaic. roles and functions now shift constantly in dynamic networks of collaborative responsiveness to successive and unpredictable problems and opportunities. Personally, this restructured postmodern world can create increased personal empowerment, but its lack of permanence and stability can also create crises in interpersonal relationships, as these relationships have no anchors outside themselves, of tradition or obligation, to guarantee their security and continuance.

The postmodern world is fast, compressed, complex and uncertain.

In my view, the philosophy to which individuals subscribe reveals as much about their own private personal and professional values as about society in general. Hill and Cole point out some of the weaknesses of postmodernist theory:

Current changes in schooling and ITE (marketisation, differentiation, pseudo-consumer choice, so-called quality control data, test results, a proliferation of new routes into teaching and the role of schools in training teachers) might well appear to postmodernists to be a vindication and indeed manifestation of postmodernist fragmentation, consumerism and heterogeneity, of the end of mass production, mass control and uniformity in education; but such developments are not free-floating. They can be analysed as being firmly embedded under combined ideological and repressive juridico-legal apparatuses and are rigidly bounded, as we have argued, by strengthened central control.

(Hill & Cole, 1993, p.14)

I accept that the role of educational philosophers is to re-evaluate the direction of developments and the kind of education offered in an historical context. However, whilst the debates about modernist/postmodernist values have raged in journals, researchers who do not consider themselves philosophers are left dealing with the problems created by the government agenda. The editors of the British Journal of In-Service Education identify some of these problems:

...the centralist agenda of government continues to dominate under the guise of 'market forces' in England, and is accompanied by centrally controlled agencies for direction and management of the curriculum, school inspection and, more recently, initial and continuing professional development. The effect of these is an increasingly narrower, prescribed focus on these areas.

(British Journal of In-Service Education, 1996, p.2)



Such aggressive government intervention surely merits some response from the education community. Yet, I find a passivism in postmodernist thinking which seems to accept the impossibility of taking positive action. Usher & Edwards comment on the uncertainty of action in the postmodernist philosophy:

...the postmodern movement is one of questioning and critique rather than the positing of confident alternatives.

(Usher & Edwards, 1994, p.209)

If this is the case, the analysis of postmodernists has little to offer the educator who is concerned with practice and improving practice at the current time, I would suggest.

Usher & Edwards recognise the dangers of postmodernism:

We are still sufficiently modernist to hanker after education that can influence the pace and direction of social change, even though we can no longer feel able to think of such change as constituting predefined progress. There are dangers too in decentring - it is not improper to at least raise the question of whether someone somewhere has to assume responsibility for educational provision, no matter how diverse and contextualised it may be.

(Usher & Edwards, 1994, p.212)

The papers presented in this submission make no claim to contribute to the postmodern debate. They are explicitly located in a modernist understanding of the role of education and belief in progress. Additionally, they are based on the notion of empowerment of individuals, a modernist concept according to Usher and Edwards.

In the same way that Usher and Edwards suggest that:

... the postmodern is not simply a body of thought, a way of theorising, but also a way of practising ...

(Usher & Edwards, 1994, p.1)

So too is modernism another body of thought and a way of theorising and a way of practising. The fact that postmodernism as a concept has caught the interest of academics does not make less legitimate the claim of modernists to have their approaches considered as being as valid as any other.

Interestingly, like Hargreaves (1994) and Hammersley, (1996), Usher and Edwards note the power of modernist thought in education:

... education is, we would argue, particularly resistant to the 'postmodern message'. Educational theory and practice is founded on the discourse of modernity and its self understandings have been forged by that discourse's basic and implicit assumptions. Historically, education can be seen as the vehicle by which modernity's 'grand narratives', the enlightenment ideals the critical reason, individual freedom, progress and benevolent change, are substantiated and realised. The very rationale of the educational process and the role of the educator is founded on modernity's self-motivated, self-directed rational subject capable of exercising individual agency. Postmodernism's emphasis on the inscribed subject, the decentred subject constructed by language, discourses, desire and the unconscious seems to contradict the very purpose of education and the basis of educational activity.

(Usher & Edwards, 1994, p.2)

This is a stance with which I have some sympathy, the struggle between chaos and order; the struggle between optimism and pessimism are always there in human endeavour. The ability to accept such uncertainty and yet be able to act on an 'improvement' agenda, in spite of the uncertainty is, I suggest, part of the role of the educational researcher who also takes on a developer role.

## 5.5 Phases of development in education

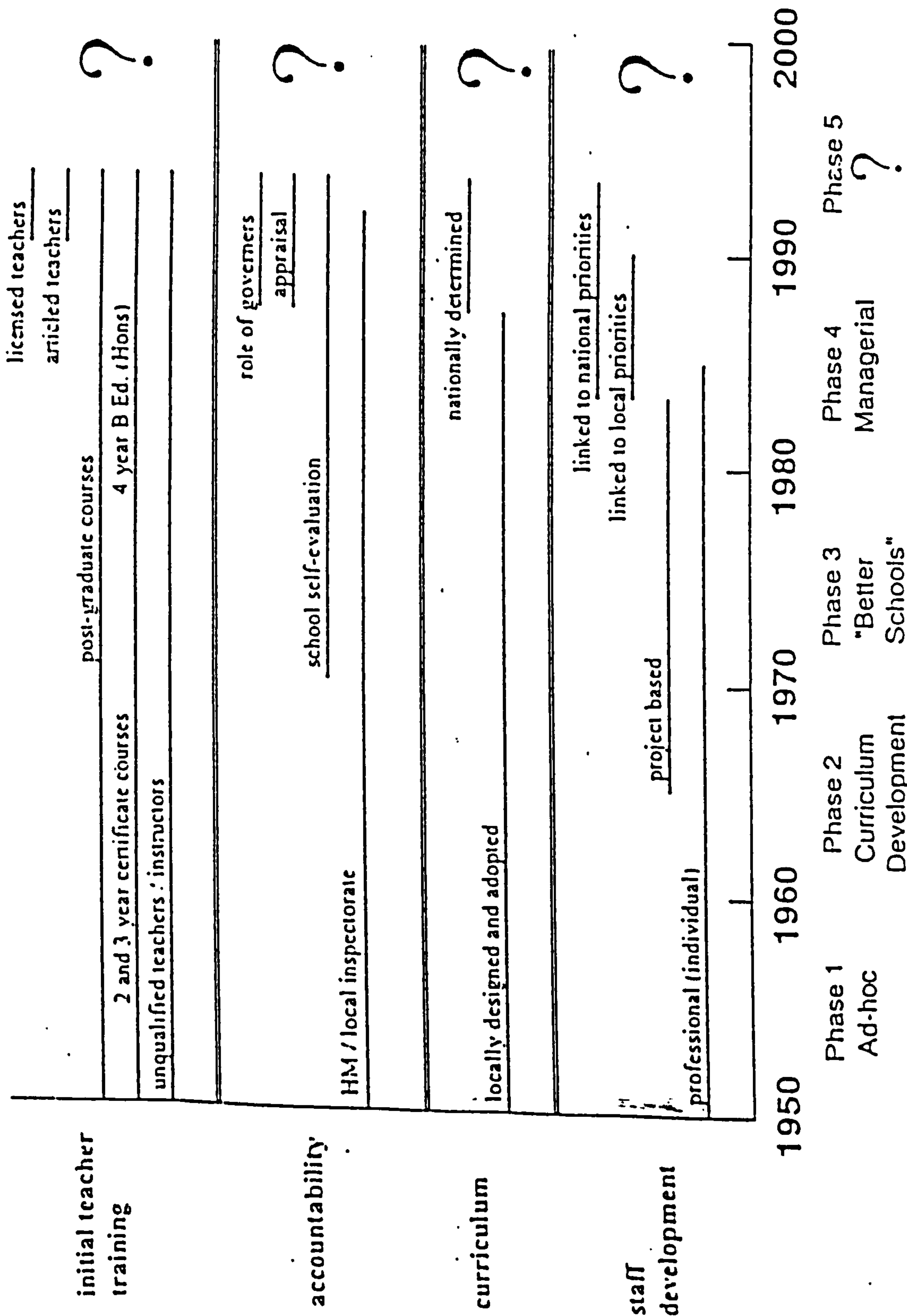
This section provides an overview of aspects of change in the education system through the seventies, eighties and nineties so that the tensions outlined in the previous section can be placed in context. The discourses in planning and evaluation processes providing a focus for this submission are one small part of the changes which have taken place during the last twenty years. For example, there have been significant changes and developments in many aspects of educational practice, e.g. curriculum, assessment, appraisal systems, post-16 and vocational issues, and the debate about ‘standards’ has continued. Whilst the importance of these developments is acknowledged, the papers supporting this submission are focused on management and development aspects of school improvement.

In Paper 18, the foci of four phases of development in the education system since the 1950’s were identified as the *ad-hoc* phase, the Curriculum Development phase, the Better Schools phase and the Managerial phase. A question mark was left over the focus of development of the next phase (Figure 5.1). When writing Paper 18, I was not sure what the key characteristics of this next phase were going to be and it is even more uncertain now, with the recent change in government.



Figure 5.1 Phases of Development in Education

(from Goddard and Leask, 1992, p.39)



As described in Paper 18, the Better School focus of the seventies gave birth to school-based review strategies on which, as has been mentioned, later school improvement strategies were to build. At the same time, there appeared to be dissatisfaction among educationalists with the existing, predominantly quantitative, methods of educational evaluation (Sections 1 & 2 provides details of debates of the time). The subsequent movement to legitimise qualitative approaches to evaluation brought in an era of development and innovation in educational evaluation. The empowerment of the individual school to undertake self-directed reviews in the late seventies/ early eighties contributed to a growing body of professional knowledge about school-based evaluation (Nuttall, 1981). The period is fully documented in Papers 18 & 19 and Leask (1988c) among others, and an introduction to aspects of this history is also provided in Section 2 of this Paper. The increasing body of professional knowledge about evaluation supported the development of innovative practice in the evaluation of the Technical Vocational Education Initiative, of which the teacher-evaluator approach (Paper 1, Leask, 1988c & 1989b) was one such innovation.

The Managerial Phase of the eighties, seemed to provide the seed bed for wide acceptance of work on development planning. There had long been concern about the quality of educational management and some research and development resources were focused on the management of schools in the eighties. For example, as has been

mentioned, the School Management Task Force (SMTF, 1990) had been set up in the late eighties to investigate the issue. The implementation of legislation (DES, 1988a) requiring schools to become self-managing and locally managed (Papers 18, 20 & 21), provided a fertile bed for the reception of ideas about school planning. Coopers and Lybrand (1988, p.5), were appointed by government to report on practice and the impact of new legislation and they identified the need for school management to change:

The changes (to local management) require a new culture and philosophy of the organisation of education at the school level. They are more than purely financial; they need a general shift in management.

(Coopers and Lybrand, 1988, p.5)

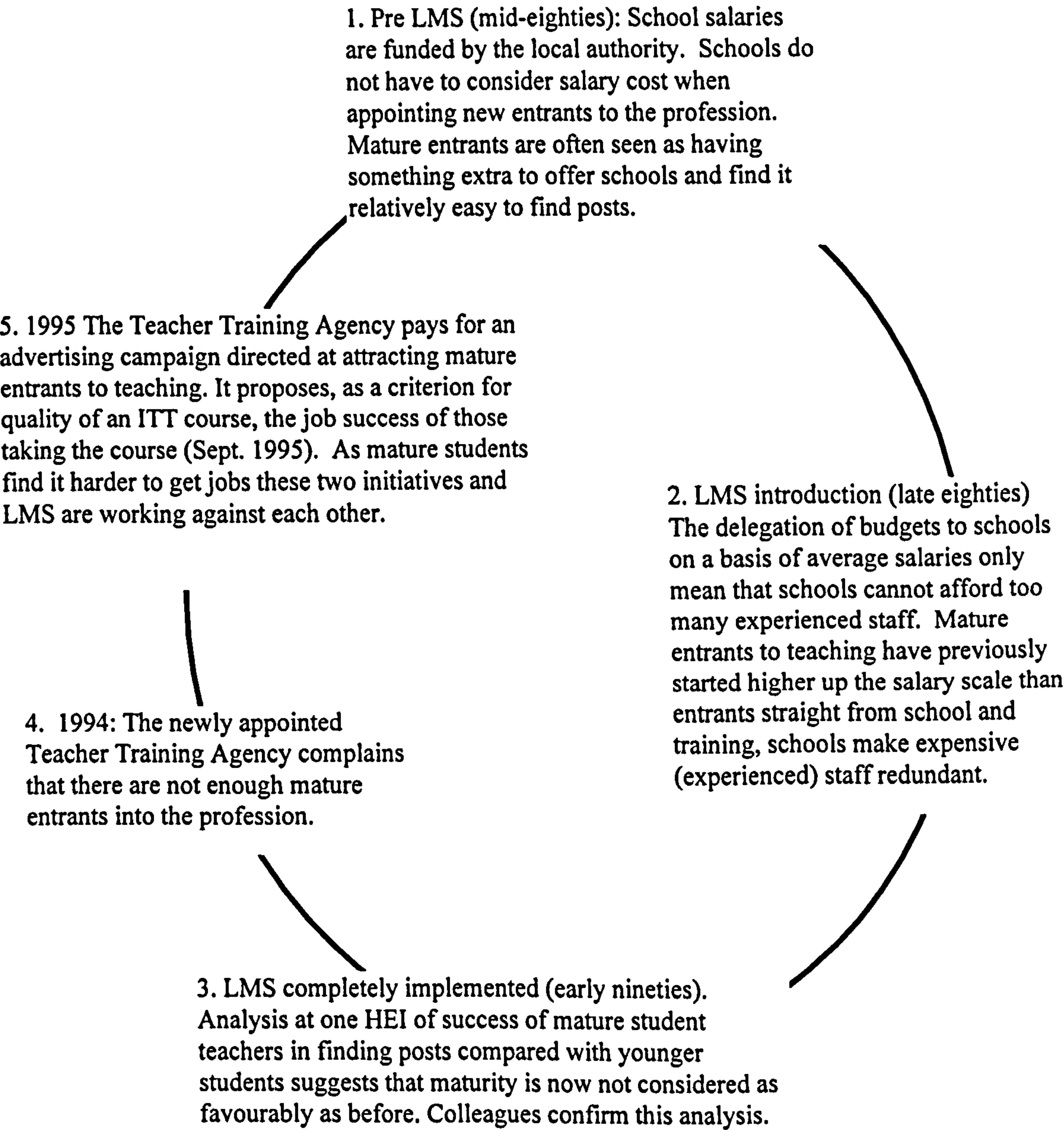
Another stimulus to planning during this period was the changing role of governors and this is discussed in a number of the papers. The 1988 Act reconstituted governing bodies and gave them wider powers than before. More parents and local people were to take part. But as Deem and Brehony pointed out (1990, p.20), there was great uncertainty about their role and guidance was needed. Partly because of these changing patterns of responsibility, the need to develop new practices and procedures in reporting the outcomes of educational developments to governors was seen as one aspect of work on the School Development Plans Project. Papers 7 and 13, the official publications from the project, were aimed at governors; Papers 11 and 12 were also focused on governors and Paper 15 was principally directed at teachers, discussing the role that governors could play in working with teachers on development planning.



## **5.6 The chaos of much political discourse: the case for an holistic approach**

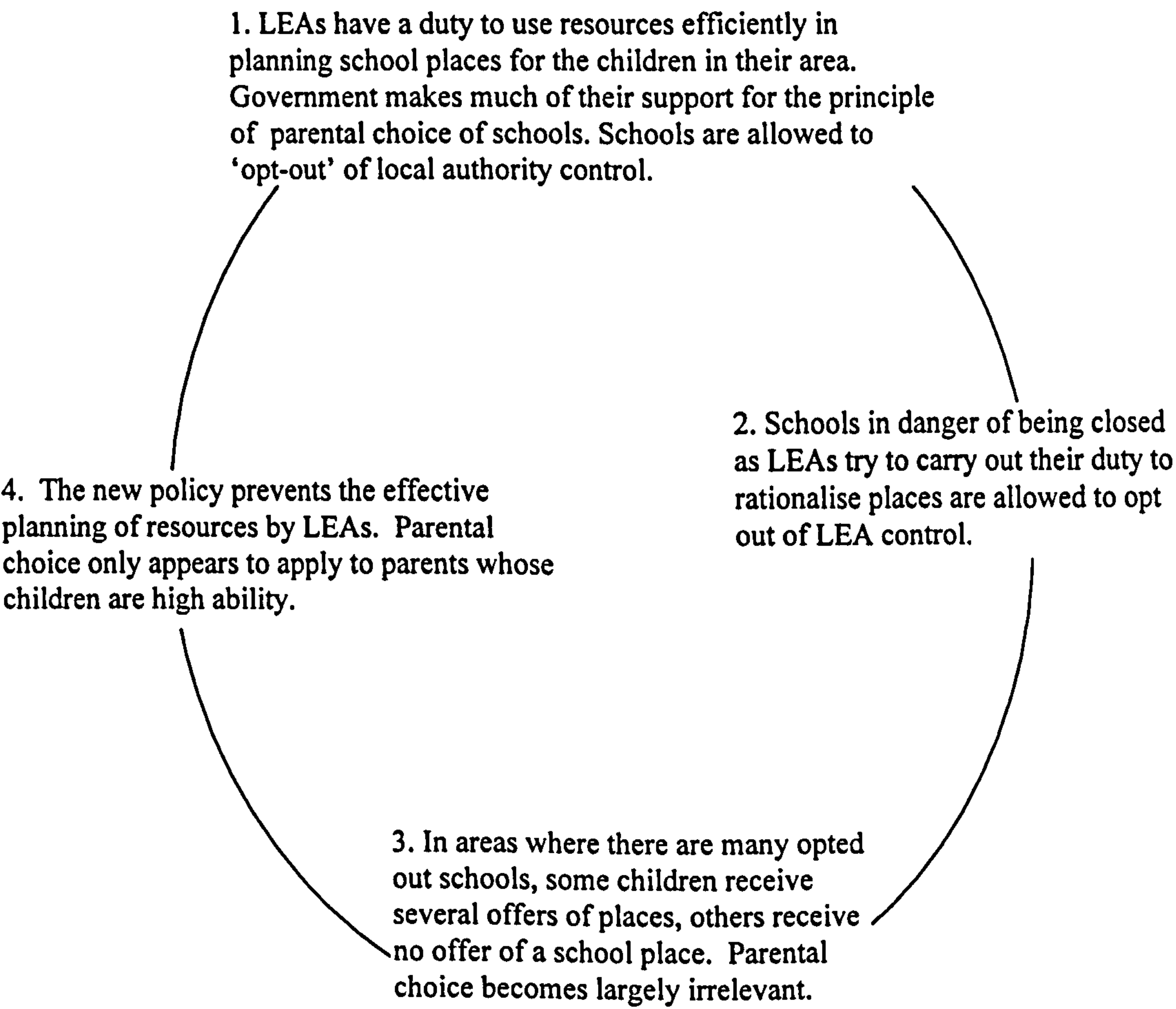
Development planning, I suggest, provides a rational framework for planning and monitoring change. In Papers 20 and 21, the case was made for policy makers at national level to adopt a similar rational holistic approach to change in the education system. The case for a widely representative body which would be consulted about change in education was made so that there could be systematic, carefully considered change in education based on a consideration of the impact of proposed change on all sectors. (The Labour Government are in the process of consulting on the formation of a General Teaching Council which could play that role.) Experience in the period to May 1997, provides many examples where different branches of the national education system were espousing policies which had contradictory results. Two examples of different government departments pursuing policies, which were not complementary, are outlined in figures 5.2 and 5.3. One relates to the impact of Local Management of Schools (LMS) on the recruitment of mature staff, the other relates to the raised expectation of parental choice being frustrated by the introduction of selection in opted out schools. Halstead (1994) and Adler (1997) also report on detailed research in this area. Whether the new government has a more coherent approach to policy making remains to be seen.

**Figure 5.2 Policy Contradictions: The impact of the Local Management of Schools Policy on the Recruitment of Mature and/or experienced staff to schools<sup>8</sup>**



<sup>8</sup> See for example Blunkett (1996, p.14) ‘The current system makes it difficult for schools to take on and retain experienced teachers.’

**Figure 5.3 Policy Contradictions: Provision of secondary school places and parental choice (late eighties and early nineties)<sup>9, 10</sup>**



<sup>9</sup> See the case reported by Pyke (1996, p.3)  
<sup>10</sup> See for example Taylor (1996, p.16); Hargreaves D. (1994, p.19); and Boyd, (1994, p.2) for a North American perspective.



Piecemeal development of the education system clearly has its drawbacks. Rather than a focus on whole system improvement forming the fifth phase in the development of the education system, it seems likely that the period will be remembered as the School Improvement phase.<sup>11</sup> The focus has continued to be on individual schools. The views expressed by Bowring-Carr and West-Burnham (1994) support this designation and Boyd (1994) has described similar moves - to focus on the functioning of the school rather than on curriculum development such as for example, in the USA.

The agenda of the newly elected Labour Government is one of change and they are continuing the focus on the individual school, but the overriding philosophy of the next phase is unclear at the time of writing.

## Summary

Given the conflicting tensions outlined in this section and the chaotic nature of change, it is no surprise that the potential of the work in educational evaluation and school development planning should have been hijacked for a different agenda from the one with which they started. In any case, the thought that there could be rational planning and development is an illusion - people are complex, the operation of

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<sup>11</sup> In the context of this paper, the term 'school improvement' is used to include the field of school effectiveness although it is acknowledged that some see them as separate fields (Brown *et al*, 1995).

society is complex. Given this context of complexity and chaos, it is perhaps astonishing that any significant change has been achieved.

I would argue that knowledge and practice about evaluation and planning have changed over the period from 1986 to the present time and that to a certain extent, such tools are now embedded in the professional knowledge base.

In the next section, the nature of what I call the 'professional knowledge base' is explored.

## **STAGES IN THE IDENTIFICATION OF THE MODEL :**

### **SECTION 6:**

#### **Sixth Stage: The Professional Knowledge Base - Definitions And Uncertainties**

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##### **6.1 What should teachers know?**

One issue which led to considerable debate in the SDP Project was the question of on what basis teachers make professional judgements. Paper 13 and Hargreaves and Hopkins (1991) publish the outcomes of some of these discourses.

Through studying other education systems, for example the Dutch and the Australian, and from discussions with European colleagues, I came to agree with Simon (1994) who provides an analysis of the negative attitudes which exist towards the study of pedagogy in the UK. Hammersley cites Andy Hargreaves, a Canadian, as identifying a similar gap in the Canadian context:

...that educational research has failed to fulfil the function required of it: it has not provided the sound knowledge base on which teaching could become truly professional, and thereby 'more effective and more satisfying.

(Hargreaves, 1996, p.1)

There is considerable debate about the professionalism of teaching, (Hoyle & John 1995; Langford ,1978; Calderhead, 1988) but there is much less clarity about



pedagogy. What I call the 'professional knowledge base' refers to knowledge, actions, understandings, skills on which teachers draw in the course of their daily work - a teacher's understanding of pedagogy (the science of teaching) is part of that. The term, 'professional knowledge', is used in this submission to describe 'what teachers need to know about' in order to be effective in their work.

A number of the papers explore this issue of appropriate professional knowledge from different perspectives. Papers 34 and 35 explore the question from the perspectives of middle managers. Papers 23, 24, 25 and 27 consider issues relevant to student teachers and Paper 31 discusses issues relevant to NQTs. In Papers 16, 18, 20, 21 and 22, I consider the concept from the national perspective.

For a variety of reasons, it is difficult to categorise the professional practice of teachers. Kok-Aun Toh *et al* make the point that:

...with nations investing between 3 and 15% of their GDP in the education of their future citizens, the school system provides employment for a significant proportion of those actively employed. The large numbers would mean, therefore, that the teachers who make up the profession are not a homogeneous group. They are unlikely to display the same degree of teacher professionalism.

(Kok-Aun Toh *et al*, 1996, p.231)

As well as a diversity of background, teachers and others involved in education have diverse views about what constitutes appropriate professional knowledge. Yet it is these beliefs which guide practice:

It is what teachers think, what teachers believe and what teachers do at the level of the classroom that ultimately shapes the kind of learning that young people get.  
(Hargreaves, 1994, p.ix)

Goddard, in Goddard and Leask (1992) considers the tensions where a change agenda conflicts with teacher beliefs. Ranson *et al* (1996) stress the need for the school to be a 'learning school' i.e. they see a climate supporting learning as an essential component in teachers' professional development. The variety of practice in initial teacher education and current tensions are highlighted in Wilkin (1996) and Wilkin and Sankey (1994).

## **6.2 Forms of professional knowledge and theoretical models of professional development**

Leat (1995) defined aspects of *professional knowledge* as 'declarative' - concepts and interrelationships - and 'procedural' i.e. the application of knowledge. In this Paper, the term *professional knowledge* is used broadly to encompass knowledge about skills and professional practice (i.e. applied professional knowledge or Leat's 'procedural' knowledge) as well as concepts (i.e. theoretical professional knowledge or Leat's 'declarative' knowledge).

In the UK at least, there are different models of what is appropriate teacher professional knowledge. Three contrasting models of teacher formation are identified by Furlong and Maynard:



...New Right thinkers such as O'Hear (1988) talk of the importance of 'learning through the emulation of an experienced practitioner' - a form of unreflective apprenticeship. Such an idea follows logically from the conception of teaching as an almost mystical process, dependent primarily on personality and 'natural' skill - not susceptible to systematic analysis...In sharp contrast those advocating a competency model advocate a more systematic, skills-based approach to learning to teach...others, insist that teaching is a complex intellectual and moral activity...  
(Furlong and Maynard, 1995, pp.178-179)

Commenting on the skills-based approach, Bridges argues for a different model linking 'the aspirations of a liberal education' (p.366) with the aspirations of the competence movement. He makes an interesting case for the:

...positive assessment of what it (the competence movement) offers in relation to (i) the place of practical competence in liberal education, (ii) the meritocratic principles underlying the competence movement and (iii) 'the transparency' of expectations in assessment, and even, (iv) 'the element of practical competence in moral performance.

(Bridges, 1996, p.361)

He emphasises, however, that

...not all 'versions of competence' can be defended in these terms and that this requires a more general and cognitively laden concept of personal professional competence.

(*ibid*, p.361)

R.S. Peters, an influential educational philosopher, is criticised by Bridges for separating the term of 'education' from 'training'. This has damaged the educational debate in his view:

...the way in establishing the way in what I believe to be an oversimple distinction between education (or more accurately, a liberal education) and training. According to this education was non-instrumental and worthwhile for its own sake, and its aims were intrinsic rather than extrinsic. This was contrasted with the utilitarian character of training - a contrast that could be extended to the kind of characterisation of competence-based education that I have offered. However, I think there is a good deal to be said against such a sharp antithesis and in favour of the liberal or liberating character of competence-based education.

(Bridges, 1996, p.365)



The belief underpinning the papers supporting this submission is that there is a body of professional knowledge to be acquired which goes beyond the basic classroom management skills identified in Furlong and Maynard's first and second models, but that as Bridges suggests, there is some value in the competence model. The third model identified by Furlong and Maynard, 'that teaching is a complex intellectual and moral activity' is closer to the model of teaching espoused in the texts and Papers supporting this submission. For example, the texts Goddard and Leask (1992), Capel, Leask and Turner (1995, 1996) and Leask and Terrell (1997) are supportive of grounded and reflective approaches to teacher professional development. In Capel, Leask and Turner (1995, 1996), I argue that three facets of professionalism, the teacher's *professional knowledge*, their *professional judgement* as well as their *professional skills*, have to be developed beyond initial training through reflection on experience and further education (Papers 23 & 33). The case is made that these aspects of a teacher's professional life need to be under continual development and that evaluation and planning skills provide professional tools for such ongoing development. Simons (1984), Sparkes, (1991), McNiff (1993), and Schratz and Walker, (1995) are among many supporters of the reflective practitioner approach to teacher development.

However, the notion of 'reflective practice' is problematic as Korthagen and Wubbels (1995) conclude after having undertaken a longitudinal study into developmental processes in student teachers:

However, no small amount of empirical research will be required to establish a sound theoretical basis for teacher education based on the aim of promoting reflection. We believe that also for other approaches to the concept of reflection a great deal of empirical research will be needed if we are to leave behind the realm of vague notions and beliefs about the benefits of reflective teaching and the effects of programs designed to promote it.

(Korthagen & Wubbels, 1995, p.70)

The concept of reflective practice (in-action, on-action, for-action) stimulated by the publication of Schön's text *The Reflective Practitioner* (1983) has been widely disseminated if not practised or understood. Papers 35 and 36 and the *Learning to Teach* series (Appendix H) are set explicitly within a reflective framework, but this is not a universally accepted approach. Bengtsson (1995) points out some of the confusion about the relationship between reflective practice and professional skills - which should come first, Bengtsson asks:

There is also an assumed relationship between the conception of reflection, teacher competence and teacher education. If professional competence is supposed to indicate the kind of absolute autonomy described above, it seems to be logical to give the student teacher a thorough training in critical reflection before he or she is permitted to start practical teaching in school. Otherwise, the teacher will become victim of the routines and other presuppositions of professional practice. If, on the contrary, professional competence is supposed to indicate a capacity to reflect in action, this can be used as an argument for first of all giving the student teacher a supervised practical training in order to initiate him or her into the practical problems of the profession.

(Bengtsson, 1995, p.25)



A number of writers have striven to codify professional knowledge. Eraut (1995)

derives five forms of professional knowledge from Schön's work:

Closer reading of Schön suggests that he is discussing several forms of professional knowledge rather than just two. At least four of these could be described as forms of academic knowledge which feature in university-based schools of professional education.

- (1) Scientific knowledge which claims to have been empirically validated according to positivist criteria (Schön incorporates this without challenge in his discussions of engineering).
- (2) Stylistic conventions of the kind used to describe schools, movements or aesthetic approaches (Schön illustrated this with examples from architecture).
- (3) Theories whose prime purpose seems to be conceptualisation and which guide situational understanding and thinking about appropriate forms of interpretation (Schön illustrates this with examples from psychiatry).
- (4) Appreciative systems used by professional communities to formulate goals and judge what constitutes good or acceptable professional conduct.

To these and possibly other forms of academic knowledge, Schön then adds a form of practice-based know-how which he calls *knowing-in-action*, 'the characteristic mode of ordinary practical knowledge'. This is clearly identified as tacit knowledge through examples, analytic summaries and in his second book definitions.

(Eraut, 1995, p.10)

This 'practice-based know-how' is what I would call professional knowledge and judgement. Papert talks of the difficulty of changing professional knowledge because, he suggests, this is bound up with personal intuitive knowledge. He makes the point that 'deep change' in the education system:

...can come into being only through a slow, organic evolution and through a close harmony with social evolution. ...

The most powerful resource for this process is exactly what is denied by objective psychology and the would-be science of education. Everyone of us has built up a stock of intuitive, empathetic, commonsense knowledge about learning. This



knowledge comes into play when one recognizes something good about a learning experience without knowing the outcome. It seems obvious to me that every good teacher uses this kind of knowledge far more than test scores or other objective measurements in daily decisions about students. Perhaps the most important problem in educational research is how to mobilize and strengthen such knowledge ... The denial of personal intuitive knowledge has led to a profound split in thinking about learning.

(Papert, 1993, p.27-28)

### **6.3 How is professional knowledge changed?**

I acknowledge the complexity of trying to define what constitutes an appropriate professional knowledge base and an appropriate model of professional formation, but new knowledge and practice does become embedded in spite of the difficulties. There are a number of factors which seem to contribute to such change.

#### **6.3.1 Collaboration**

Through undertaking the work with teachers (leading to Papers 1 and 3 and Leask 1986 a-c; 1987, b-f), I realised the importance of ownership of outcomes if change was to be achieved as well as the desire for change which could be unleashed where teachers undertook action research related to their own practice. Hargreaves, also, comments on the advantage of teacher involvement in change:

The involvement of teachers in educational change is vital to its success, especially if the change is complex and is to affect many over long periods of time. And if this involvement is to be meaningful and productive, it means more than teachers acquiring new knowledge of curriculum content or new techniques of teaching. Teachers are not just technical learners. They are social learners too.

(Hargreaves, 1994, p.11)

However, he goes on to identify this collaboration as potentially threatening to school management:

Collaboration can be a device to help teachers work together to pursue and review their own purposes as a professional community, or it can be a way of re-inscribing administrative control within persuasive and pervasive discourses of collaboration and partnership. Collaboration, in this sense, can be a burden as well as a blessing, especially once administrators take it over and convert it into models, mandates and measurable profiles of growth and implementation. For the spontaneous, unpredictable and dangerous processes of teacher-led collaboration, administrators too often prefer to substitute the safe simulation of contrived collegiality: more perfect, more harmonious (and more controlled) than the reality of collaboration itself.

(Hargreaves, 1994, p.17)

Hargreaves recognises the importance of harnessing teachers' 'desires for change':

Political and administrative *devices* for bringing about educational change usually ignore, misunderstand or override teachers' own *desires* for change.

(Hargreaves, 1994, p.11)

Desire for change does not of itself ensure change happens. The chaos wrought by micropolitics in organisations were alluded to earlier. Hoyle (1988) calls this an 'organisational underworld'. Hargreaves identifies further ways in which well-founded change faces problems:

The process by which teaching is changing and teachers are changed, I shall show, is systematically ironic. Good intentions are persistently and infuriatingly turned on their heads. Even the most well intentioned change devices which try to respect teachers' discretionary judgements, promote their professional growth and support their efforts to build professional community, are often self-defeating because they are squeezed into mechanistic models or suffocated through stifling supervision.

(Hargreaves, 1994, p.3)



and can actually damage teaching:

Professional development can be turned into bureaucratic control, mentor *opportunities* into mentor *systems*, collaborative cultures into contrived collegiality. In these ways, many administrative devices of change do not just undermine teachers' own desires in teaching. They threaten the very desire to teach itself. They take the heart out of teaching.

(Hargreaves, 1994, p.3)

This is the strongest rationale for researchers not to ensure action ensues from their research that I have come across. Hargreaves continues:

Data from innovative secondary schools, however, suggest that many attempts to eradicate traditional forms of *balkanization* simply reconstruct it in other ways. Many such schools try to secure shared visions and common values organized around innovative curricula, alternative pedagogues, widened systems of assessment and reporting and so on. Despite their radical content, these programs of reform, I shall argue, often just substitute one modernistic mission for another. This time, though the balkanization occurs not between departments, but between the *avant garde* and the rearguard, between insiders and outsiders, or between the old and the young. Secondary schools, I shall argue, if they are to avoid balkanization and all its problems must search for more postmodern patterns of organization and collaboration that are pluralistic and flexible in nature, instead of ones that seek to contrive or impose whole-school consensus across their entire staffs.

(Hargreaves, 1994, p.18)

My view is that what Hargreaves identifies as *balkanization* is tribalism by another name and man is ever tribal so that achieving the ideal Hargreaves suggests of pluralism and flexible modes of organisation is likely to be difficult.



### 6.3.2 Personal characteristics and change

The personal characteristics of teachers also affect their ability to learn and to change. Papers 24, 31, 35 and 36 take up this issue from the perspectives of the student teacher, the NQT and the middle manager, suggesting the importance of self-analysis in professional development. Bullock *et al* (1995) identify the variability of different learning styles of senior managers. They identify 'seven distinct opportunities' through which education-management learning most commonly occurred. These were significant other colleagues, courses, texts, everyday experience of educational management, delegated responsibilities and management experience outside school.

These findings are quite interesting given the general level of cynicism that one hears voiced about texts being read by people in schools and courses being the cause for change. Bullock *et al* find that the characteristics of the individual are most influential in determining how a person learns and is able to take advantage of opportunities:

From this study it appeared that the value and effectiveness of the different developmental processes may reflect some of the *personal characteristics* peculiar to individual educational managers. Although it would be impossible to define the exact effect of these characteristics the study indicated five possible and useful features which may have an influence on the process of learning and educational management.

(Bullock *et al*, 1995, p.263)

They identify these features as

- subject specialism of the teacher;
- gender;

- learning orientation and preferred learning style;<sup>12</sup>
- career or life stage;
- personal drives, ambition and motivation.

They sum up the message from their research:

... however, the important message to come from this research is that the management learning of those interviewed had not been explicitly or consistently managed. This almost certainly slowed the development process.  
(Bullock *et al*, 1995, p.265)

The analysis by Bullock *et al*, (1995) of different learning styles by managers, I believe, provides a rationale for the different reactions that individuals have to more structured approaches to management (such as that espoused in the School Development Plan Project). They investigated the subject specialism of the teacher to see whether it had an impact on the way in which the individual took opportunities:

Although only very general tendencies were identified, it seemed that this is likely to be a combination of factors including the nature of the subject or culture of different departments in schools. Educational managers with an intuitive people-orientated approach often had a humanities background.  
(*ibid*, p.263)

For example, one head of English described her approach to management as follows:

...the fashion might well predominate, but in real terms we are using a whole set of strategies all the time, using our intuition as to which is appropriate at which moment or for which people.  
(*ibid*, p.263)

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<sup>12</sup> Interestingly in this category given the current trends for reflective practice, they identify two particular trends: "for example there were those who had an internal orientation to their professional development (that is, they expected to learn from their own reflections on their personal experiences, perhaps under the guidance of others), while there were those who had an external orientation and expected to gain knowledge from extraneous sources such as colleagues courses and texts." (p.264)

Those with a scientific or mathematical background tended to emphasise their skills in organisational matters as this quotation from a head of Mathematics indicated:

I am good at administrative detail when it comes to writing things on paper so that others can pick up what is required.

(*ibid*, pp.263-4)

### 6.3.3 External influences

Building on the work of Bullock *et al*, I suggest that for teachers in the state education system, changes in the shared body of professional knowledge and practice are introduced principally by ideas (criticisms/statutory requirements) emanating from any of five external sources:

- Local Education Authorities;
- The Department for Education and Employment, (the voice of government);
- Higher Education Institutions;
- professional organisations;
- the media;

and from

- processes within the individual school<sup>13</sup>

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<sup>13</sup> Whilst innovators with vision are recognised as providing key influences on the development of educational practice and thus professional knowledge, such individuals will usually be operating



New ideas contributing to professional knowledge which are developed from practice and/or research can be disseminated through professional networks, conferences, in-service education and various types of publication. Figure 6.1 provides details of the main channels through which institutions (and thus, individuals) exert their influence on professional knowledge, i.e. external influences on knowledge and practice.

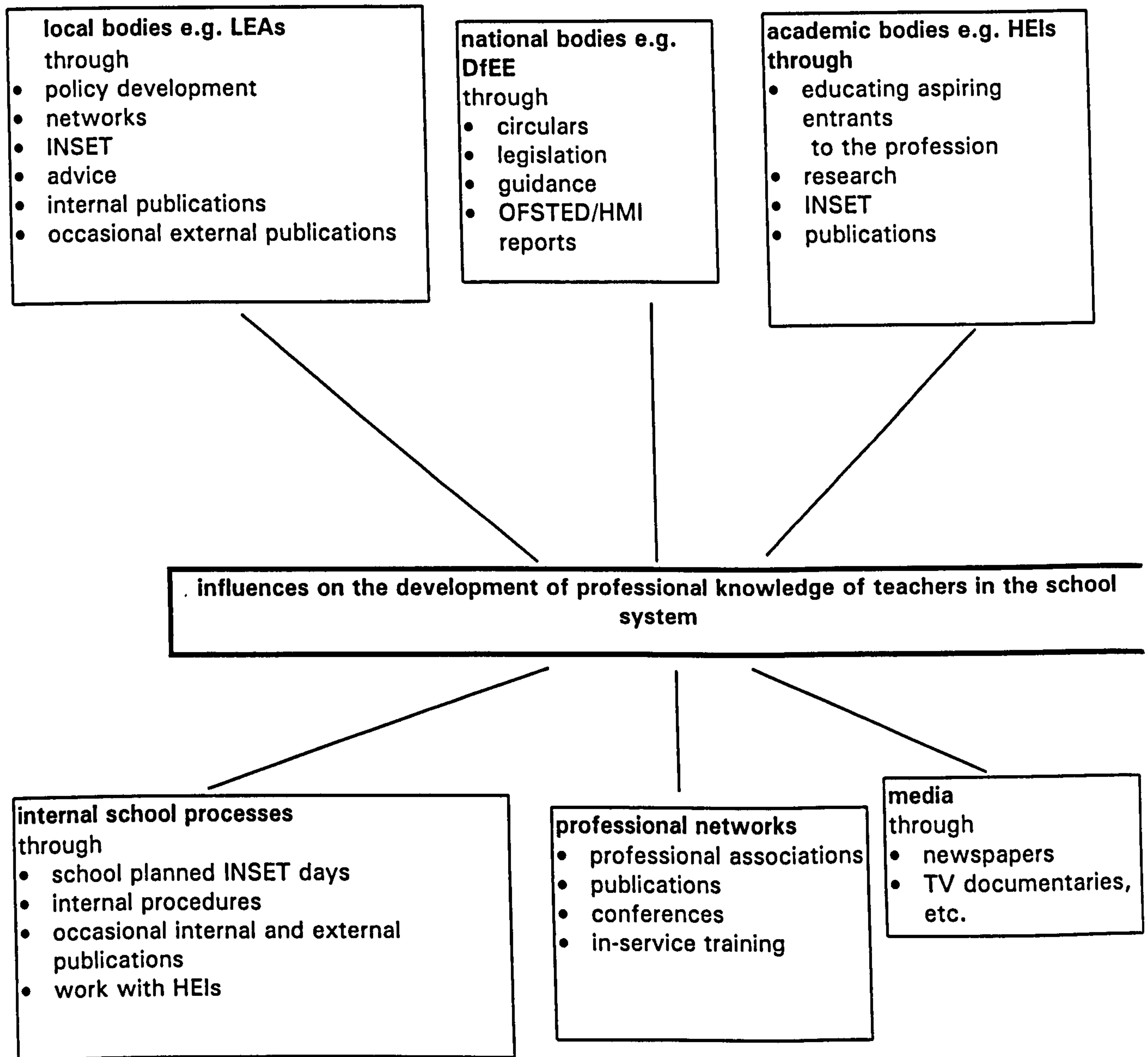
In Section 8, I analyse the potential impact of the TeacherNet Project by examining the impact of the project on these external influences.

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within the institutions already mentioned, and so individuals are not identified here as a separate influence.

**Figure 6.1 External influences on the development of school teachers'**

**professional knowledge**



#### 6.3.4 Dissemination and embedding strategies

The problem faced in the introduction of any innovation or new knowledge is not only the need to gain acceptance for the ideas but how to ensure widespread dissemination so that the innovation becomes embedded in practice. The influences on professional knowledge identified in Figure 6.1 need to be brought to bear on the issue. Building on this understanding, in my contributions to the Capel, Leask and Turner texts (1995, 1996) which were written for new entrants to the teaching profession I included information about educational evaluation and planning (Papers 26, 28 & 33). The ideas presented to student teachers drew on professional knowledge and practice developed over the last couple of decades and the intention was that the inclusion of the ideas in texts for student teachers would support the embedding of relatively new professional knowledge in professional practice. That the inclusion of such content (on development planning and evaluation) is a departure from the usual content of texts designed for the student teacher can be seen by a comparison with texts designed for the same audience. The content of Edwards' and Healy's *The Student Teacher's Handbook* (1994), for example appears to be similar to that of Haigh's *Beginning Teacher*, published in 1972. The focus of both seemed to be on the acquisition of basic classroom management skills rather than on the development of professional knowledge, which goes beyond basic skills. The editors of the *Learning to Teach* series, of which I was one, believe that there is particular danger in focusing initial teacher education solely on gaining classroom skills. This is that student



teachers may not be exposed to what is now a wealth of professional knowledge and practice about pedagogy. The need for students to be inducted into processes of school development and evaluation is just one example. In my view, the time of initial socialization of teachers into the profession is probably the period when new teachers are most likely to be receptive to new ideas - once practice becomes established at a basic skill level, there is potentially a danger that a teacher's practice may never move beyond the basic level. Paper 29, presented for an international academic audience, provides further argument. Opportunities for secondments, for example, which allowed reflection on practice for the experienced professional and which existed in the seventies and early eighties, are now no longer available to teachers and INSET opportunities are fragmented so there are restricted opportunities for teachers to acquire new professional knowledge through their teaching career.

Another way of embedding new knowledge in the teaching profession is through networking with other practitioners (see Figure 6.1). Networks are an effective way of spreading and debating ideas about developing practice (Goddard and Leask, 1992). In the eighties, when LEAs had substantial teams of advisers and advisory teachers, developing practice spread quickly through systems of local contacts and networks. Two such networks which relate to the body of work in this submission were the TVEI networks and TVEI Evaluation networks. A number of the papers were fed into these networks (e.g. the Cambridge TVEI network) and were the focus of debate and discussion at network meetings (e.g. Paper 3). The networks used by most academic

staff in HE to disseminate findings are based around academic journals and conferences but these are not the networks that provide most information about developing practice to practising teachers. NFER attempt to bridge the divide with their journal *TOPIC*. In the case of the planning and evaluation work of the SDP Project, I realised that if change was to be long-lasting, then an audience beyond the traditional academic one had to be reached, i.e. practising teachers.

Bassey *et al* (1994) made the point that high quality research should be relevant to some perceived need and that any findings should be made available to the most appropriate audiences. In the case of the research on in-school evaluation strategies and planning, there was an established need (DES, 1988a; SDP research findings; SMTF, 1990) and the knowledge was disseminated, through the deliberate targeting of the different papers to a very wide audience - student teachers, newly qualified teachers, middle management, head teachers, governors, academics.

### **6.3.5 Micropolitics, experience and developing professional knowledge**

The framework in Figure 6.1 showing influences on developing professional knowledge is too logical and simple. In reality, the development of professional knowledge in education is a complex process which requires the co-operation and collaboration of teachers (Sparkes, 1991; Goddard & Leask, 1992). The micropolitics within the educational system influence the implementation of any change and hence

cannot be ignored when the effectiveness of any innovation such as that of school development planning, is considered. The informal culture operating in institutions and the passive resistance of staff to change can also effectively block initiatives. Ball (1990b) and Davies (1994) in particular warned of the impact of micropolitics on the implementation of innovations. Smith and May (1980) highlighted the complexity of decision making, which rational approaches to planning may seem to ignore.

### **Summary**

The fact that there is no shared agreement about what constitutes the professional knowledge base for teaching is accepted as immutable, but it is not accepted as an excuse for inaction by the educational researchers. I suggest that if research findings are to have an impact on this professional knowledge base, then a researcher has to ensure that as many as possible of the channels of influence identified in Figure 6.1 are used for dissemination of findings.

In the next section, a model showing the process of embedding change in the system is proposed.



## **STAGES IN THE IDENTIFICATION OF THE MODEL :**

### **SECTION 7:**

#### **Seventh Stage : Embedding new knowledge and practice - linking research findings to practice : Model 1**

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That the elements influencing the capacity of any individual or organisation to change which were identified in the last section are enormously varied and complex, means that the change process is inevitably chaotic and unpredictable.

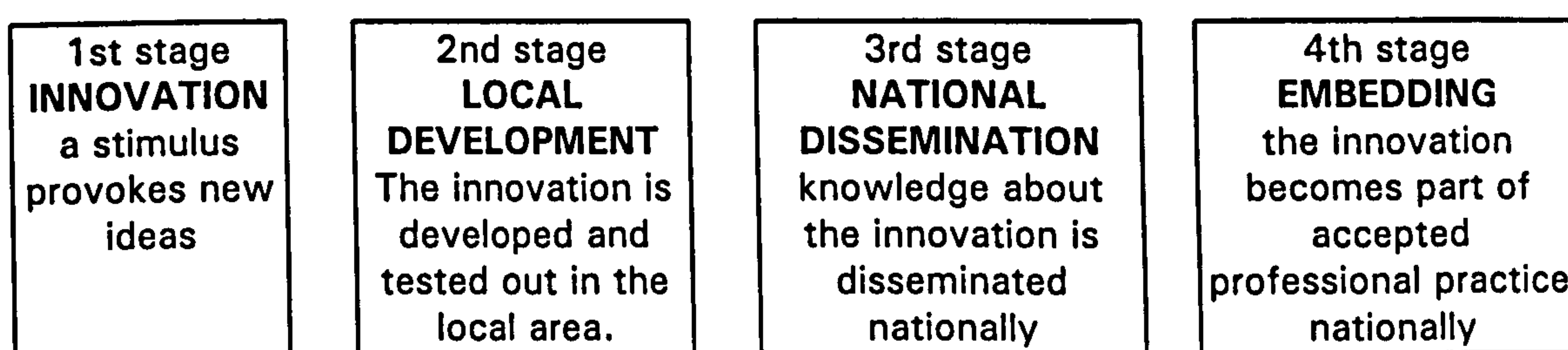
Any model then will inevitably be too simplistic. Nevertheless, there seem to be a number of conditions supporting the embedding of change in the professional knowledge base which can be identified on the basis of the SDP Project experience.

#### **7.1 Model 1: The process of embedding new knowledge in a profession.**

Many innovations are not disseminated beyond the local area in which they are developed and do not outlast their exponents' time in the profession (Dalin and Rust, 1996, p.8). If new knowledge is to be considered as embedded in the profession, then the innovation must become part of accepted practice nationally. By 1995, I had developed a model for achieving national change built on local motivation (Fig. 7.1). I used this model as a basis for developing the TeacherNet UK Project and Paper 39 gives a detailed explanation of this application. Figure 7.1 identifies four stages to be

gone through before new knowledge can be considered to be embedded. Subsequent thinking has led to further refinement of the detail at each stage.

**Figure 7.1: Model, 1995: From innovation to embedded practice in a profession**



It is not difficult to find examples of innovations which have been much applauded but which, in the end, have not become embedded in professional practice. For example, one much acclaimed innovation of recent years, which has yet not finally become embedded in professional practice, is the 'Reading Recovery Scheme'; a scheme requiring intensive tuition of young children who are having problems with reading. The scheme was developed in New Zealand and adopted by some LEAs in England but it required the injection of resources to early years education to support the development of children's reading. There were, it would seem, insufficient resources available for this innovation to become part of normal practice, so whilst it is an important innovation in certain areas of the country, it would be difficult to claim that the practice and the knowledge of that practice has become embedded in the profession. The innovation has passed through stages one to three but does not yet satisfy the criteria for Stage 4. Another example of current innovation is taking place

in the base-line assessment of 5 year olds. Two years ago a lot of publicity was given to the work in the Birmingham Education Authority (Guardian, 17.10.95). This innovation appeared to have reached stage three in early 1996, as it had been given considerable publicity in the educational press. The practice is now spreading with a number of LEAs undertaking this work. If, as appears likely on current reports, the ideas developed in Birmingham (or a variation of them) for baseline assessment at age 5 are used in most primary schools in the country, then the claim could be made that this innovation had become embedded in professional knowledge and practice. But, unless the ideas are taken up nationally, they will remain at the level of local innovation. Where there is significant resistance to change, the innovation gets stuck at the second stage - it is implemented only by some of the staff - the enthusiasts - and when they leave the school, the idea dies.

Few local innovations have a national impact. That the School Development Plans Project appears to have had an impact nationally was possibly because there was a very strong stimulus (Stage 1) at the time (i.e. national developments in curriculum finance, management, INSET and professional development together with criticisms of poor planning and evaluation at school level), and that there was existing practice in individual LEAs (Stage 2). The third stage seemed to be fully supported. The funding enabled research to be done to analyse the developing knowledge held by teachers and LEA officers and to report this to every school management team and governing body and LEA in the country (Stage 3). The last stage, Stage 4, was



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guaranteed when schools were required to produce plans as part of the inspection process and when bidding for funds for specific projects (DFE, March, 1995; DFEE, 1997b). The quality of the process was not, of course, guaranteed and considerable variations of practice have developed - some plans are produced with the aim of gaining commitment from staff for profound changes in the school, others to satisfy outside agencies only.

## **7.2 Levels of the education system which have to be influenced**

Unless change is fully embedded, ideas wither and die as the generation involved in their development move on and the next generation create new ways of doing things. In stage 4 of Figure 7.1, the claim is made that if an innovation has become embedded, 'the innovation becomes part of accepted practice nationally'. What does this really mean? If this claim is to be upheld, then the innovation needs to be embedded at every appropriate level in the system. Figure 7.2 indicates which levels within the education system would have to be influenced if a claim for the *embedding of practice* (of the development planning and evaluation process) *at all appropriate levels* is to be upheld.

**Figure 7.2 Different levels of the education system which would have to be seen to be influenced if practice in development planning was to be considered embedded in professional knowledge and practice.**

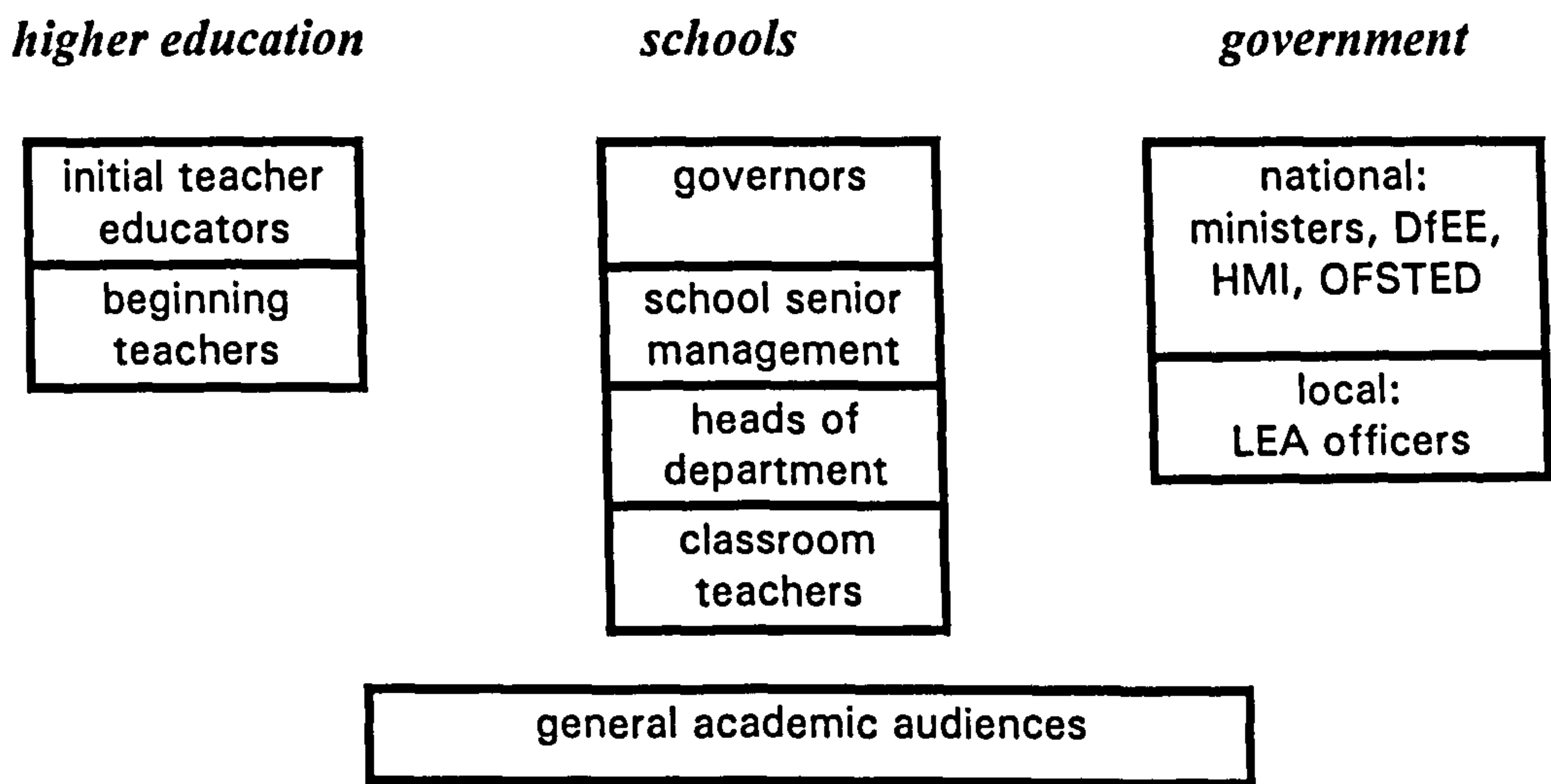


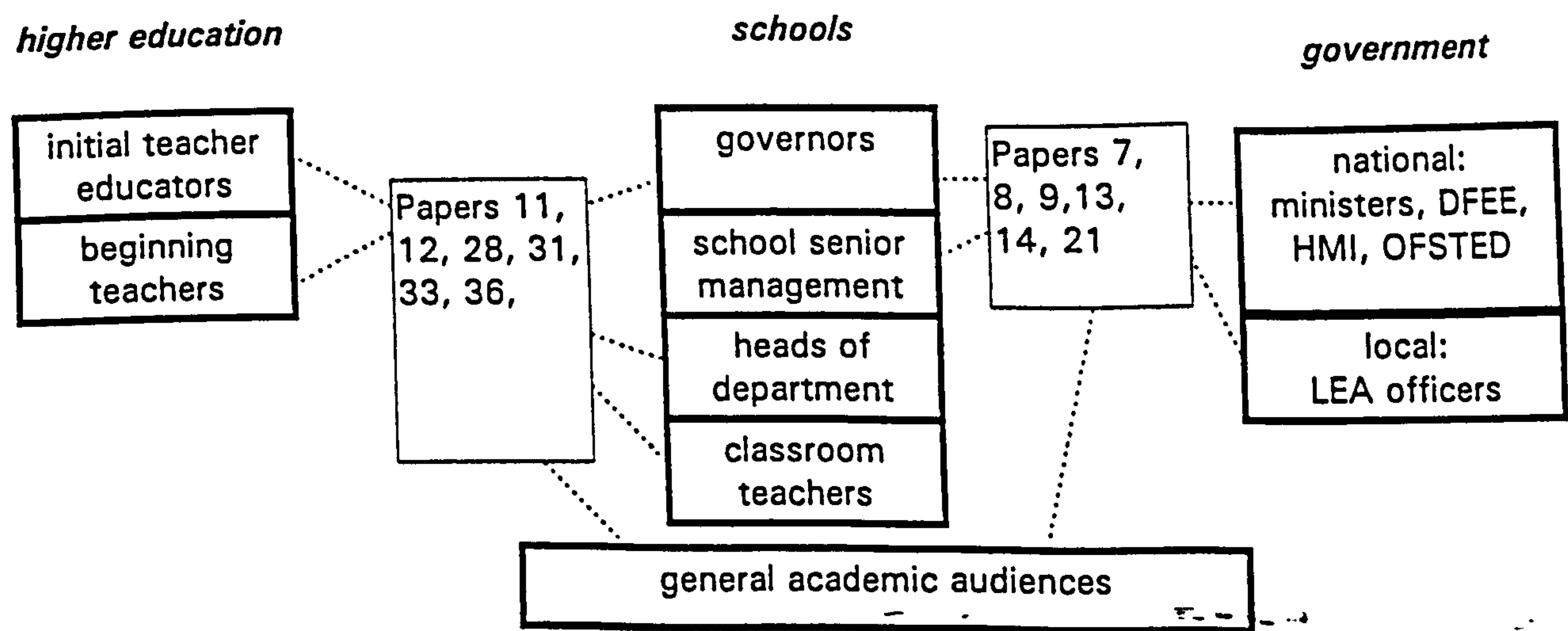
Figure 7.3 takes this a stage further to illustrate how individuals at the different levels identified in Figure 7.2 have formed the target audience for both SDP Project team publications and some of the papers submitted in support of this paper.

The publications of the School Development Plans Project (Papers 7, 8, 9 and 13) were directed through official channels - senior managers, governors, LEA officers and the DFEE, HMI and OFSTED. As part of the project, training sessions for LEA staff and headteachers were also provided to ensure that the knowledge about development planning and evaluation, which came out of the project, was disseminated widely to staff at those levels. Subsequent publications (Hargreaves and Hopkins, 1991; Papers, 11, 12 and 15: Capel, Leask and Turner, 1995, 1996) made this knowledge about planning and evaluation available to new entrants, university lecturers and school mentors (classroom teachers and heads of department). In this



way, such knowledge has been made widely available so that it can become part of the new teacher's professional tool kit. The text, Capel, Leask and Turner (1995), seems to be not only being used by initial teacher educators (e.g. Institute of Education, London; Liverpool John Moores; Christchurch College, Canterbury) and their students but is apparently also being used by schools for in-service training of existing staff. The long term impact on beginning teachers of including information and activities about school development planning and evaluation strategies in these publications is difficult to gauge but because of the widespread use of the texts, it is assumed that information about these professional practices will, at least, be available to many newcomers to the teaching profession.

**Figure 7.3 Embedding change in professional knowledge and practice at different levels in the education system: the audience for selected papers and the School Development Planning Project publications.**



Whilst Figure 7.3 provides no evidence of embedding of knowledge linking research on SDPs directly to practice, the responsibilities of the researcher identified in Section 1 to ensure dissemination to appropriate audiences have at least, I suggest, been satisfied.

The real influence on embedding practice in school development plans has ultimately been brought about by the OFSTED and DFEE requirements mentioned earlier.

It is possible that the influence of the texts written for new entrants may be more substantial now than would have been the case if they had been published ten or twenty years ago. Schools, local education authorities, the DFEE and university departments of education have lost experienced staff. For example, schools have had cutbacks in funding, which have led to experienced staff being regarded as expensive and being made redundant (Blunkett, 1996). Significant numbers of staff seem also to have taken 'early retirement'. Also there have been substantial redundancies in LEAs as changes in the LEA role have been implemented. In addition, in the DFEE, the number of full-time HMI has been reduced significantly and their role taken over by part-time OFSTED inspectors. In university departments of education, posts have been cut back as funds for training students are delegated to schools. So, quite simply, it would appear there may be much less professional expertise in the education system now, than in the previous decade at least. Where an education system experiences a

considerable loss of expertise, texts may assume an important role in passing on professional knowledge - knowledge which was, perhaps, once passed on by staff.

## Summary

In this section, the case has been put that new knowledge and practice generated by the School Development Plans Project and disseminated through various papers has, to a significant extent, become embedded in national practice in education.

In 1995, when I was faced with the challenge of developing a project of potentially similar impact to the SDP Project, I started from the baseline of knowledge developed through Stages 1 to 7, as outlined in this submission and described as Model 1, 1995. Stage 8, Section 8 which follows outlines the further refinement of the model as it has been and is being applied to the TeacherNet UK Project.



## **STAGES IN THE IDENTIFICATION OF THE MODEL :**

### **SECTION 8:**

#### **Eighth Stage: Applying the model to a new project**

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##### **Introduction and Background**

As outlined in the Overview, in 1995 when I started working with schools with Project Connect (Appendix B), it became clear to me that there was a need to disseminate the innovative development occurring in the schools, where teachers were creating new practice in the application of this technology to teaching and learning. This new knowledge had to be added to the professional knowledge base. This realisation, coupled with the experience of travelling abroad and seeing what was happening on the application of new technologies, specifically those linked with the Internet, at Queensland University of Technology in Australia where a professional on-line service for teachers which was being used for the dissemination of good practice, led to my checking in the spring of 1996 with NCET, TTA, DFEE, OFSTED whether anything similar was planned in the UK. At that time, I was particularly interested in undertaking research linked with the use of such a service.

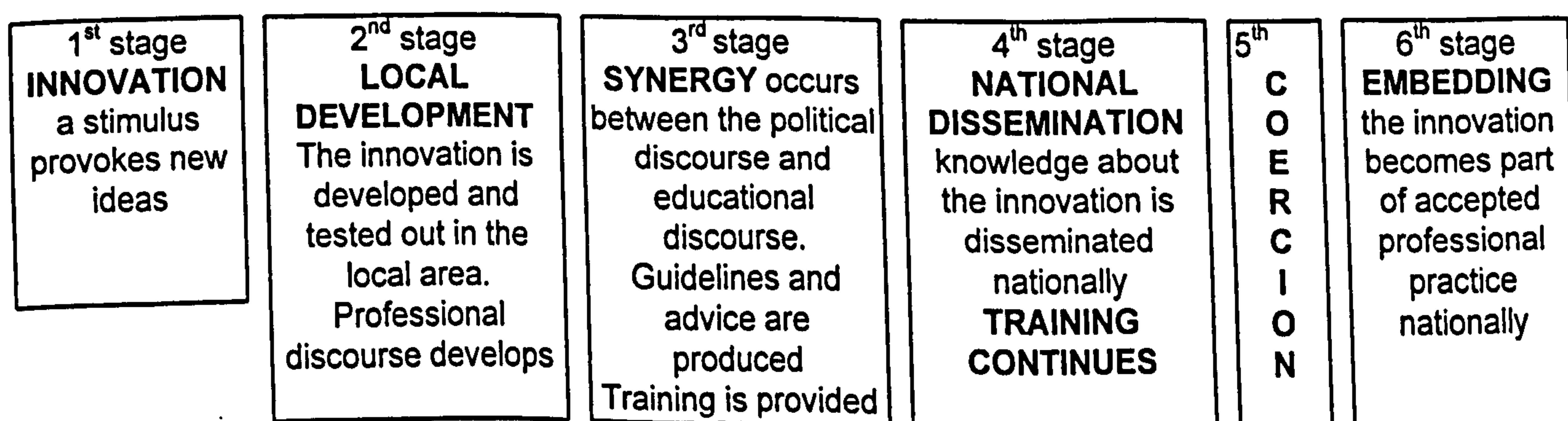
I discovered that no such initiative existed. Yet all those I spoke to agreed that good practice and new knowledge about the use of ICT in the classroom had to be part of a teacher's professional tool kit. Subsequent research indicated that this work was

highly developed in a number of other countries - Iceland, Sweden, Canada for example: the United Kingdom was behind. As an academic who saw myself as a teacher and a researcher, I was faced with a challenge and a dilemma. The findings from the research on Project Connect and the British Council *newImages* Project were clear. Teachers had to develop curriculum applications for the new technology. There was a need which I suspected was national for a development project to ensure this new knowledge could be widely disseminated, i.e. there was a need for a development project arising from research findings which had the explicit goal of ensuring new knowledge was added to the professional knowledge base. It was at that point that I realised that whilst research and development are linked in industry, the link is far more tenuous in education, and that if I used my time in what had to be a substantial project, this could have a negative impact on the quality of my contributions to the Research Assessment Exercise: quite simply, I wouldn't have the time to do the research work I had planned. Even worse, by setting up a development project, I would then be seen as too partial to evaluate it - so that I would lose out doubly. Because I support the view that education researchers have a moral responsibility to the profession (Section 1) which takes precedence over institutional or personal self interest, I made the decision to set up the development project which could ensure that action happened as a result of the research findings. Appendix C provides an outline of the goals and the methods of operation of the initiative.

In making decisions about strategy and the structure of the project, Model 1 outlined in the previous section (Figure 7.1) provided a useful starting point. On reflection, I realised the model of change for the SDP concept was more complex than I had first thought. There had been ongoing training during the third and fourth stages and ultimately coercion had been used to ensure compliance. But although coercion ensured the ideas were taken seriously it had also meant that the original concept that development planning was about supporting empowerment and a collaborative ethos in schools was corrupted. It seemed to me that any ideas with the 'government stamp' ran the risk of being interpreted as being linked with accountability mechanisms and in that case, the effective management of the professional and political agendas on this initiative would be critical to effective change. However, if this means that government have to relinquish power over the direction of initiatives, managing the professional and political discourses is always likely to be problematic.

Figure 8.1 (Model 2) is the revision of Model 1 and this was the result of reflection about the TeacherNet strategy, i.e. ensuring that knowledge about ICT applications to teaching, learning and professional development became embedded in the professional knowledge base.

**Figure 8.1: Model 2, 1996: From innovation to embedded practice in a profession**





It seemed to me that if the professional discourse in the UK could be stimulated, then these professional needs could be presented to government and we could stimulate political discourse, thus moving through to the third stage, and ultimately the fourth stage. To reach the third stage, of national dissemination, a national on-line service relevant to the needs of UK teachers had to be developed.

In Paper 39, I describe the model of change underpinning the TeacherNet initiative.

This paper was presented at an international educational conference on on-line communities sponsored by the EU and UNESCO in September 1997. As the published version has been abbreviated, I quote here from the original:

#### Mechanisms for change

The model of change underpinning the TeacherNet UK initiative is based on the approach which ensured that school development planning became the norm in UK schools. In the early eighties, development planning was well developed in a few areas and non-existent in others. Good practice was identified, recorded and analysed on a government funded research project (see Hargreaves and Hopkins, 1991; Leask and Terrell, 1997). Guidelines were produced in 1989 and distributed to every school in the country. Local education authorities were kept informed as the research progressed about the likely outcomes so that they could plan local training sessions. Within a few years, schools were obliged to produce development plans. As is to be expected, not all development planning is effective in supporting change but nevertheless, the practice of development planning is now embedded in the education system.

A similar approach could work for the change in pedagogy which is required if children are to use ICT appropriately in their learning and teachers for their teaching and professional development.

There is good practice in a number of schools around the country. One key purpose of the TeacherNet UK initiative is to make examples of good practice available to any teachers who access the site. Not only are case studies available but the opportunity to take part in curriculum projects across the world is planned. The site is intended to support sceptical practitioners, be

they senior managers or newly qualified teachers. The emphasis is on making curriculum application apparent. Guidelines may well be useful in providing examples of successful strategies used by schools who could be considered ICT competent. Training opportunities need to be available for student teachers and experienced teachers as possible future development may be the introduction of (statutory) qualifications for teachers. Crucial to a shift in the ability of teachers to use ICT competently in teaching and learning (pedagogy) is, in our view, access to a site which supports them in the application of the technology to the curriculum, for instance through projects with other schools locally, regionally, nationally or even internationally, and providing on-line discussion groups where changes in practice can be shared and discussed.

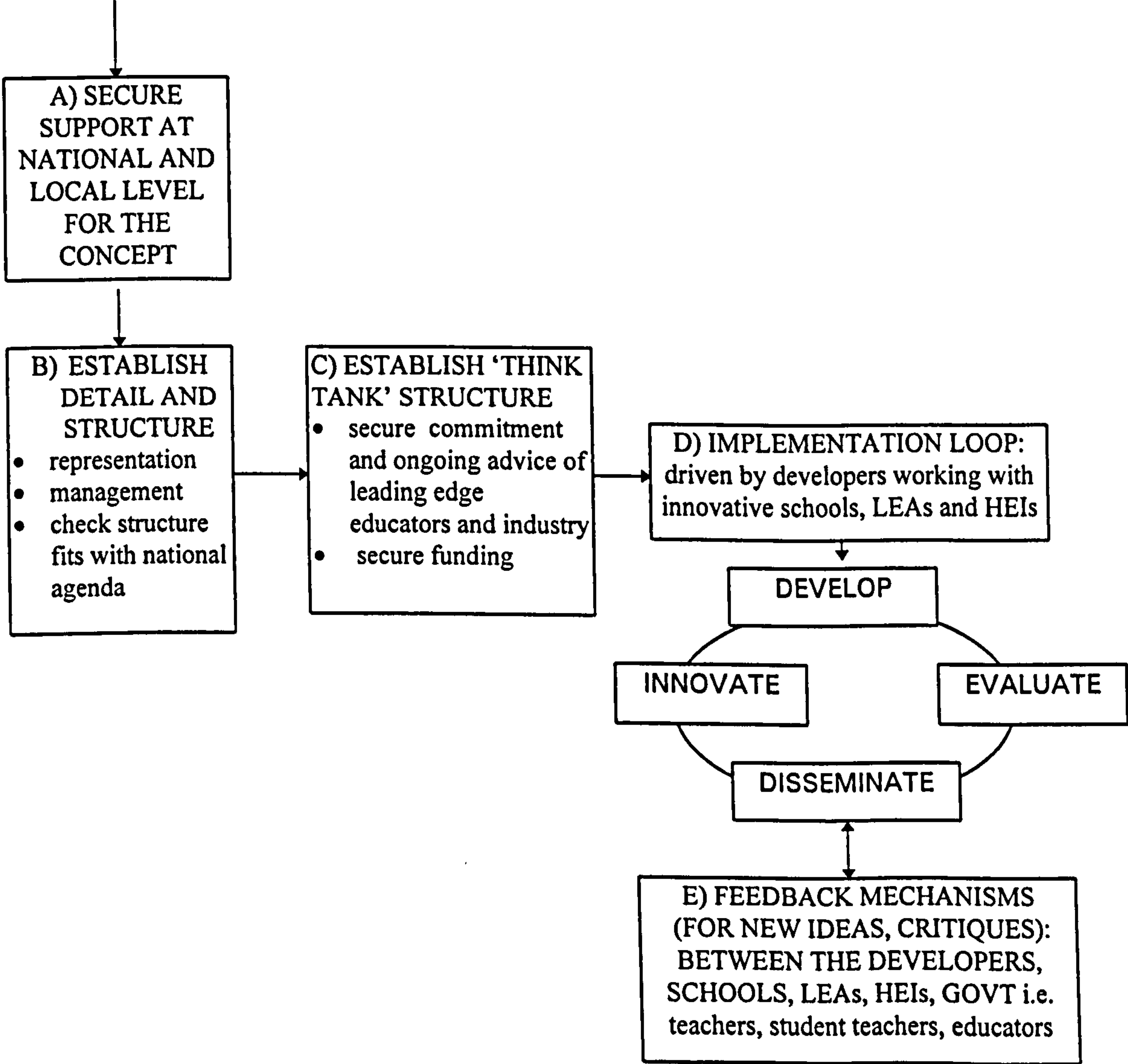
(Paper 39, p.8)

The strategy was carefully planned particularly bearing in mind the effectiveness of the collaboration between LEA, HEI and schools on the school development planning initiative. Figure 8.2 provides the detail of the strategy.

**FIGURE 8.2: A MODEL FOR A STRATEGIC WHOLE SYSTEM APPROACH ENSURING EMBEDDING OF NEW PRACTICE IN THE PROFESSIONAL KNOWLEDGE BASE:** built on principles of collaboration, consultation, ownership, responsiveness, independence of industry and government, run and developed by the profession for the profession.

**STARTING POINT: 1995:** Needs encountered by teachers developing practice in classrooms (In the TeacherNet project, this began with Project Connect and the new Images internet curriculum projects. There was a realisation among those involved that a national professional on-line service will enable practice to develop to support what the teachers want to do (e.g. curriculum projects, professional development, advice, information, materials for lessons).

Project planning was undertaken and the following strategy devised:





Having field officers from a range of LEAs in the School Development Plans Project ensured that the research was grounded in practice and that the outcomes of the research were known in advance by the field officers who themselves participated in the research could then influence practice in their own LEA. This review / development / implementation / review spiral which I saw operating in my work with the field officers (SDP Project) and teacher researchers (TVEI) influenced the strategy employed for the TeacherNet project. This lesson of the importance of ownership of outcomes through involvement in the process was one I learned not only from the literature but also from the experience of seeing research findings being applied in practice. The need for TeacherNet field officers in each LEA to act as conduits for ideas both from the developers to teachers in classrooms and other educators and from teachers in classrooms to developers (Appendix C) was identified to ensure penetration of knowledge throughout the system. This aspect of the change model has not been achieved as of December 1997 as, to approach LEAs in that way, I felt the initiative needed the 'official' support of government. The unstable political situation from the period 1996-1997 with a change of government in May has meant that political alliances which TeacherNet had built were broken with the change of government and the new government had its own agenda of change. Although this complemented the TeacherNet agenda; alliances had to be built again.

In Paper 39, I spell out the background to the project:

### **Background**

From the beginning, it was recognised that for this project to be successful, the support of all major interests groups had to be gained. Those involved at this early stage were not interested in developing yet another web site which had no overall rationale for existence except the cheapness of the technology and the desire of those involved to say something in a public arena.

To gain the necessary commitment and to ensure that the initiative was based on a firm foundation, detailed preparatory work and careful thought was required. Initially, government agencies and educators in key positions were consulted about the need for such a resource. This process was completed in June 1996.

Wider consultation was then undertaken with a national consultative conference in October 1996. Those invited were drawn from a wide range of professional groups and sectors. As a result of this conference, the decision was taken to establish a representative Steering Group drawn from all educational sectors, all parts of the United Kingdom, major public sector interest groups, and private sector sponsor companies. The interim steering group was established in October 1996; educational representation was confirmed in December 1996. Politicians were consulted and kept informed throughout.

Once the educational representation on the steering group was established, private sector partners were identified. Companies approached were carefully chosen for their known commitment to supporting educational development. Care was taken to ensure that potential core partners were in compatible sectors. For the site to be effective, it needs to provide access to the educational market place for as wide a range of interest groups as possible and the negotiations with companies have taken this into account. The profile which a company can expect on the prototype site relates to its level of financial support. Beyond the prototype, profiling of a company will depend on the level and form of advertising which it buys into.

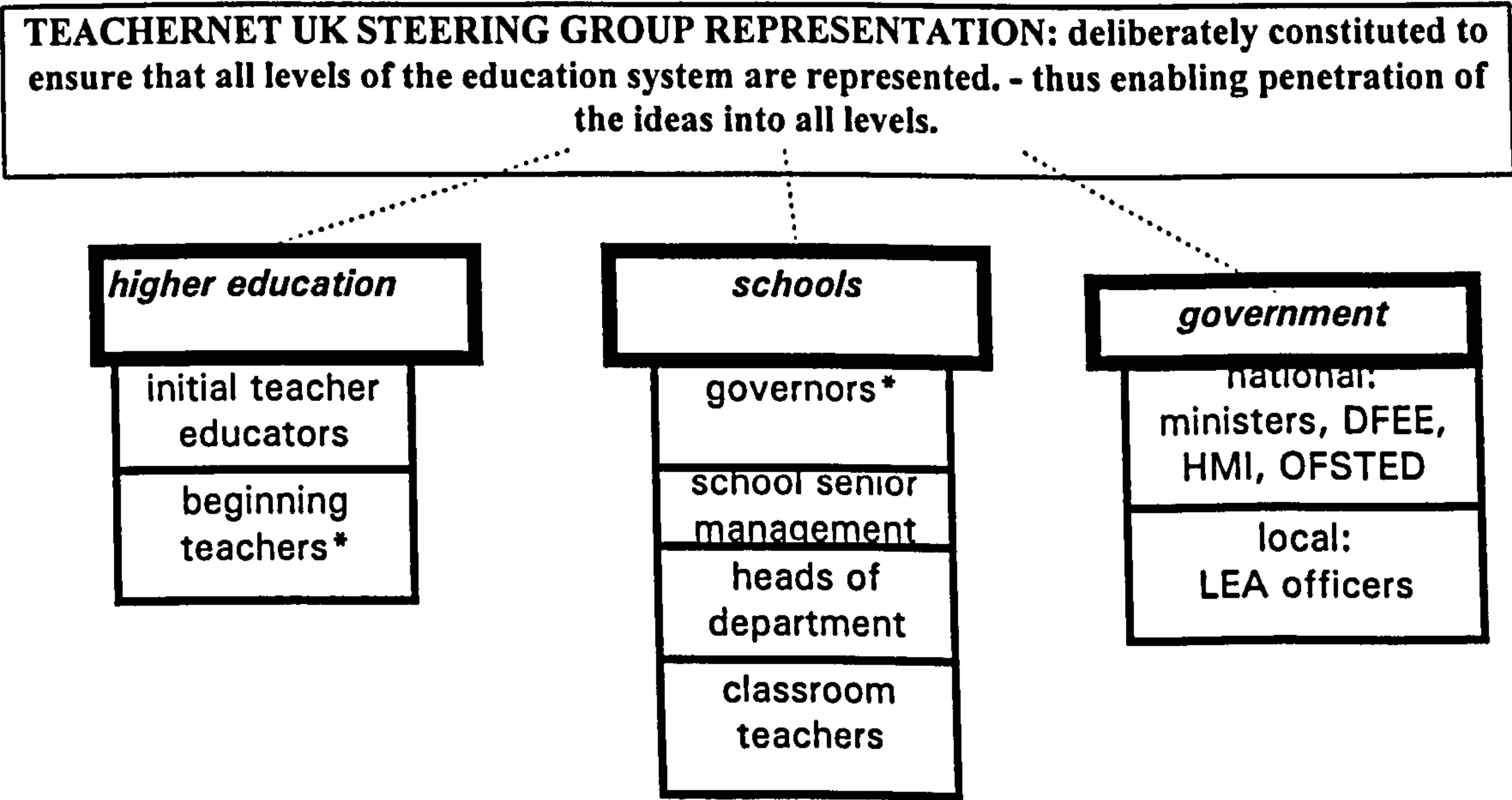
*(ibid, p.6)*

The range of issues identified in the previous sections as supporting, hindering and corrupting ideas developed by teachers provided a framework in which I could plan the strategy. I knew there could potentially be problems with micropolitics, with

ownership, what I hadn't anticipated was how easy it would be to develop the professional discourse.

A list of those on the steering group as of November 1997 is included in Appendix C - it demonstrates the success the initiative has had in involving representation from the widest range of organisations. Support has been easy to obtain. Figure 8.3 shows how the steering group was constituted to involve people from components of the education system which were earlier identified as central to effective change..

**Figure 8.3     Constituting the steering group to take account of the different components of the education system which have to be influenced if knowledge about the application of ICTs to the curriculum is to be embedded in professional knowledge and practice.**



\* only beginning teachers and governors are not directly represented on the steering group.



Table 8.1 below describes the strategy for involving these different groups and the progress to date. In Section 7, it was established that change can be prompted by having access to information, training, networks, articles, texts, 'significant others'. This knowledge has been applied in the development of this strategy.

**Table 8.1      Introducing new knowledge and practice: groups within the education system who need to be involved**

Groups within the education system who need to be involved if new knowledge and practice is to be embedded in the system	Strategy for involvement	Action to date: November 1997
<b>ACADEMIC BODIES</b>		
1. INITIAL TEACHER EDUCATORS	<ul style="list-style-type: none"> <li>conferences,</li> <li>letters to heads of schools of education</li> </ul>	<ul style="list-style-type: none"> <li>involvement of those active in this area on the steering group and on the management group i.e. at strategy level</li> </ul>
2. STUDENT TEACHERS	<ul style="list-style-type: none"> <li>through HEI involvement</li> <li>through texts in the <i>Learning to Teach</i> series</li> </ul>	<ul style="list-style-type: none"> <li>publications in the series</li> </ul>
3. GENERAL ACADEMIC AUDIENCES	<ul style="list-style-type: none"> <li>publications</li> </ul>	<ul style="list-style-type: none"> <li>Paper 39</li> </ul>
<b>LOCAL BODIES</b>		
1. GOVERNORS	<ul style="list-style-type: none"> <li>no plans within the TeacherNet initiative except for a web presence</li> </ul>	
2. SCHOOL STAFF <ul style="list-style-type: none"> <li>school senior management teams</li> <li>heads of department</li> <li>classroom teachers</li> </ul>	<ul style="list-style-type: none"> <li>teacher representation on the steering group</li> <li>through LEA field officer involvement</li> </ul>	<ul style="list-style-type: none"> <li>various representatives are on the steering group</li> </ul>
3. LEA OFFICERS	<ul style="list-style-type: none"> <li>representation on the steering group</li> </ul>	<ul style="list-style-type: none"> <li>various representatives are on the steering group</li> </ul>
<b>NATIONAL BODIES</b>		
1. GOVERNMENT MINISTERS, DFEE, HMI/ OFSTED, TTA, QCA, SOEID, SCCC, SCET, NCET	<ul style="list-style-type: none"> <li>to seek approval of key organisations - as the goal was to provide an online service, self funding but recognised by government as providing a valuable service (this was necessary to ensure funding).</li> </ul>	<ul style="list-style-type: none"> <li>all of these were consulted from the start,</li> <li>all are either on the steering group or on the information list</li> </ul>
2. PROFESSIONAL ORGANISATIONS	<ul style="list-style-type: none"> <li>all professional associations to be supported to have web-</li> </ul>	<ul style="list-style-type: none"> <li>professional associations were invited to the consultation</li> </ul>

	based provision which complements the freely available LEA and national provision: this is in phase 2 of the project i.e. the phase following the set up of the overall service	conference, are represented on the steering group
3. EXAMINATION BOARDS	<ul style="list-style-type: none"><li>involvement in debate at steering group meetings so that practice in examinations is adapted as appropriate</li></ul>	<ul style="list-style-type: none"><li>represented on steering group</li></ul>

In some senses, to generalise about the ways these groups might be involved and thus influenced is to oversimplify the change process to a ridiculous extent. Whilst those in the education system can be placed in one or the other category, the ways in which each individual comes to change practice are entirely individual - a combination of circumstances.

The management structure of the initiative was designed to ensure collaboration, collective ownership, penetration, responsiveness. Again, I describe this aspect of the strategy more fully in Paper 39:

Management Structure:

The management structure of the initiative had to incorporate a number of principles:

- a high level of involvement in the development by practising teachers;
- partnership between educators and industry beyond straightforward sponsorship; and
- independence from both government and industry.

There are three key groups providing different levels of management to the project: the steering group, the executive group and the project team.

The *steering group* of TeacherNet UK has representation of key organisations in education in the UK. It has a dual role: overseeing the quality, development and maintenance of the site and lobbying government about the needs of education.

This group provides leadership and direction to the project and reviews and approves the outcomes. The steering group is intended to be representative of key interest groups across the profession and includes partners from industry. This representative nature of the group - half of the members will be classroom teachers within three years - is intended both, to ensure that the project outcomes are useful and relevant to teachers and that knowledge of the project and its purpose is widely disseminated.

The *executive group* is responsible for functions such as finance, administration, advertising and ensuring sufficient revenue to develop and maintain a site of high quality.

The *project team* is responsible for the educational content of the site. Programming support is also provided.

(*ibid*, p.9)

At the time of writing, the Project is at a critical stage.

As could be anticipated from the model, the political discourse is likely to hijack the professional discourse. Collaboration and mutual support of political and professional interests is possible as Figure 8.4 shows.

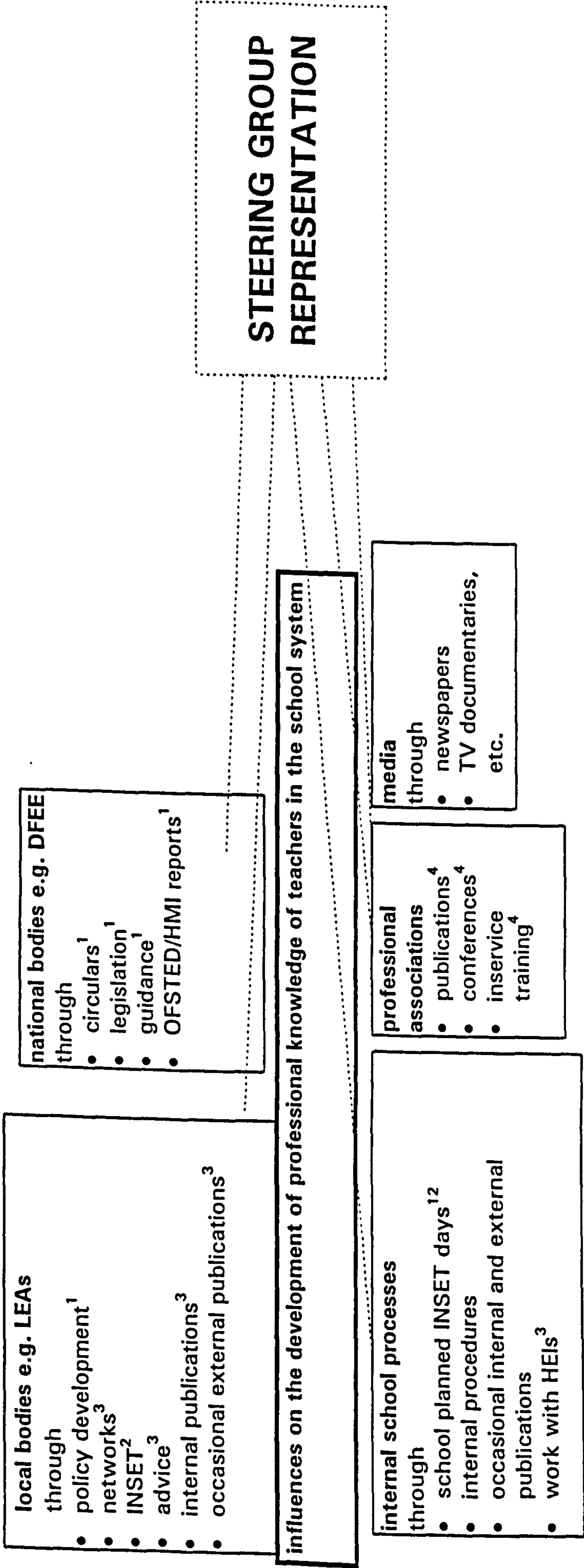


**Figure 8.4      Actions to be taken if change in practice and the professional knowledge base with respect to the use of ICT by teachers in classrooms, is to become embedded.**

The new Labour Government have taken steps to ensure that change really does take place in the teaching profession can be illustrated by linking the policy and proposal documents they have produced with the analysis of how change happens in the system identified earlier in Figure 7.2 The opportunities for the TeacherNet initiative to stimulate change are identified as complementary as set out below. The following notes indicate where the impact of particular activities is likely to be felt:

- <sup>1</sup>will come about if the proposals in the document: National Grid for Learning (DFEE, 1997b) and the National Curriculum for IT in ITT are implemented
- <sup>2</sup> will come about if the proposed lottery funding for teacher training is made available
- <sup>3</sup> indicates areas targeted in phase 1 of the TeacherNet project
- <sup>4</sup> indicates areas targeted in phase 2 of the TeacherNet project

As can be seen, there is still a number of gaps in the strategy outlined by government which require LEAs, HEIs, the media and schools to take up the challenge.



**8.1 Moving the innovation from the local to the national arena: developing the professional and political discourses.**

In this section, the stages of development which the TeacherNet initiative has gone through and is going through are explored in some detail. Table 8.2 maps the stages identified in Model 2 against the actual progress in the initiative.

**Table 8.5 From innovation to embedded practice in a profession: Stages in the development of the TeacherNetUK concept.**

What I present here, is the process in which I have been involved. Like all practice which is likely to have a national impact, similar processes are occurring elsewhere, the professional discourse about the issues initially develops in isolated pockets, and where the conditions are supportive, the pressure for change becomes irresistible.

STAGES OF DEVELOPMENT	ACTIVITY	STAGES IN THE DEVELOPMENT OF THE TEACHERNETUK CONCEPT
1 <sup>st</sup> stage	<b>INNOVATION:</b> a stimulus provokes new ideas At the same time that I was involved in the projects listed in the next column, colleagues at Bangor, Exeter and Ultralab at the University of East Anglia in particular were exploring similar issues. Professional discourse was developing.	1) 1995: Project Connect evaluation (appendix B) indicates the need for research to be undertaken in the use of the Internet in classrooms: specifically in terms of curriculum applications and learning outcomes. 2) 1995: The Aus/UK Internet curriculum projects which are then set up provide evidence on the establishment of on-line professional communities. 3) 1996: The British Council <i>newImages</i> programme provides opportunities for the exchange of ideas and conferences on these issues.
2 <sup>nd</sup> stage	<b>LOCAL DEVELOPMENT:</b> the innovation is developed and tested out in the local area. There is a search for solutions as problems are discovered. The need for a national solution starts to emerge, the professional	4) mid.1996 Consultation with all major players in the UK indicates that there are some pilot projects in networking which are testing out the ideas (e.g. Schools-on-line) but the

	discourse starts to gather pace.	<p>concept of a national on-line community is not being developed by anyone.</p> <p>5) autumn 1996: agreement is reached with all major players in the UK to develop the ideas. A steering group is set up to develop the initiative. The DFEE launch a 'Superhighway' initiative.</p> <p>6) late 1996: further research reveals that local innovations in other European countries are leading to the European Union considering supporting networking teacher communities.</p> <p>7) 1997: experience builds in the UK with the work of NCET, Ultralab, Exeter University, the BEON project.</p>
<b>3<sup>rd</sup> stage SYNERGY BETWEEN PROFESSIONAL AND POLITICAL DISCOURSE</b>	<p><b>PROFESSIONAL DISCOURSE DEVELOPS</b> The ideas start to be publicised at conferences, in the media, less often in articles or texts at this stage because of the time it takes for these to be printed.</p> <p><b>INDUSTRY DISCOURSE DEVELOPS</b></p> <p><b>POLITICAL DISCOURSE DEVELOPS</b> Government to support innovation and development in this area.</p> <p><b>POLITICAL, INDUSTRY AND PROFESSIONAL DISCOURSES ARE MUTUALLY REINFORCING***</b></p>	<p>8) Results of work in 7) above start to be disseminated: conferences, and in the media.</p> <p>9) the new Labour Government (May 1997) supports innovation in the area and by October 1997 has published a consultation paper on the structure of a Virtual Teachers' Centre.</p> <p>10) Autumn 1997: discussions take place about the structure of the Virtual Teachers' Centre with companies and government organisations. The TeacherNet management group are invited to discuss ideas with government.</p>
<b>4<sup>th</sup> stage</b>	<b>NATIONAL DISSEMINATION:</b> the knowledge about the innovation is disseminated nationally	11) November 1997: This has already started with the government making public announcements about what they wish to do in this area.*
<b>5<sup>th</sup> stage</b>	<b>COERCION</b>	12) Government plans are unclear in this area. The documentation which has been produced (e.g. DFEE, 1997b) does however, make explicit certain expectations e.g. teachers will be ICT literate by



6 <sup>th</sup> stage	<b>EMBEDDING</b> the innovation becomes part of accepted professional practice nationally	13) November 1997: Again, government plans for this is already underway. The government has said teachers will be using ICTs in classrooms (DFEE, 1997a). A Curriculum for IT in ITT is being developed. Lottery money is being directed to teacher training in the area *
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\*This is where the TeacherNet initiative was before the National Learning Grid document was published (DFEE, 1997b). There is a danger that political imperatives will mean that decisions are taken which ignore the needs of teachers, student teachers and teacher educators as the desire to have a web site which can demonstrate political which will override the need to plan carefully and consider how change in classrooms is to be achieved.

The project has yet to move beyond Stage 3. At the time of writing, the HEI researchers involved in this project are being consulted about the construction of the National Grid for Learning, (DfEE 1997b, Stage 4) and the Government have signalled an intent to move through to the final stage in the 'embedding' model.

The model of change outlined here suggests a close working relationship between schools, LEAs and HEIs and government is likely to be most effective. If widely and systematically developed<sup>14</sup>, this relationship could ensure close links between classroom practice and research and this could provide an evidence base to support policy making in education. Government would be less likely to be able to change practice according to a solely political agenda. However, given the chaos inherent in the education system as mentioned earlier, such a set of inter-linking relationships is unlikely to be developed.

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<sup>14</sup> It exists in an *ad hoc* way currently.

the education system as mentioned earlier, such a set of inter-linking relationships is unlikely to be developed.

At this point the similarities with the process by which School Development Planning became embedded in national practice are stark - initially the professional discourse reinforces the political discourse but the power relationships are such that the political forces take over the idea for political ends.

### **Additional work**

Only part of the work to be done to embed ICTs in the professional knowledge base is listed in this section. Figure 8.6 lists a wider range of activities which are expected to be in place before change really becomes embedded in the system.

### **Figure 8.6: Extract from Paper 39: Elements of a possible UK national strategy for improving the application of ICT in schools.**

This list of elements is compiled from research findings from various projects including the Schools Online project (Department of Trade and Industry, 1996), a national independent inquiry (The Stevenson Report, 1997) research undertaken by McKinsey and Company (1997) and the ongoing work which the authors of this paper are undertaking with schools and student teachers. More details of the actual UK strategy will be revealed in the Government White Paper which has not, at the time of writing, been made public.

Any comprehensive national action requires a management group overseeing a national strategy and sub-groups responsible for components of that strategy.

#### **Provision**

- affordable access to the Internet for schools. In the UK calls are charged by time units. A ceiling on charges is necessary if schools are to be able to develop their use of this resource to any extent. Cable companies have made such an offer to schools which not all schools are able to take up because not all areas will be networked.
- free access to European School Net and TeacherNet sites providing examples of and opportunities for curriculum application, professional development, software reviews, subject

based databases responsive to the individual, international and national education news and information.

- NetDay actions (see e.g. <http://netdays.eun.org>)
- email addresses for teachers and pupils
- tax relief on teachers' computer purchases
- fixed rate call charges to Internet Service Providers from teachers' homes
- VAT relief on teachers' computer purchases (action should be possible at EU level given that the Ministries of Education in EU countries support European School Net).
- library access to the Internet
- technical support for schools: strategy identified e.g. national hot line, new jobs/career structure for technicians responsible for maintenance of schools networks focusing on women returners who wish to work school hours,
- software development

#### Incentives

- National Awards for curriculum applications, software, inventions, international work, to schools and individuals

#### Training

- the establishment of a certificate in ICT applications to teaching and learning which, in time, all teachers might be expected to have

#### Statutory requirements

- ICT use included in examination board requirements
- appropriate use across the curriculum becomes a focus of inspection

There is no question that ICT will be used more widely in schools. The question is how the change will happen and whether professional issues will be suppressed or supported by the political agenda.

## Summary

A simplified form of Model 2 could be stated this way:

- A) development of innovation and good practice in classrooms and schools (School/LEA role);
- B) production of guidelines and advice (HEI research role);
- C) provision of training (Government/LEA/School/HEI roles);



- D) make statutory requirements (Government roles);
- E) embedded practice results (checked through inspection).

Point D is of course controversial but the case for supporting coercion is perhaps more acceptable if one takes a modernist position that certain change is necessary for what is perceived to be the 'good' of society and the individual, i.e. that imposing an entitlement curriculum for pupils is appropriate. As with the School Development Plans Project, coercion is likely to be used to bring about change in the use of information and communication technologies in the classroom. For example, where an innovation has benefits clearly demonstrated from the research, where the innovation has become standard practice in many schools and where training and support are available, then I suggest there may be a case for statutory regulation to ensure children receive a common curricular experience where this appropriate. In addition, the complexity of whole system change and the variety in personal characteristics and competence of teachers must mean that some conformity in practice has to be required if pupils are to have access to a similar curriculum to that of their peers.

The project at the time of writing is hovering between Stage 2 and Stage 3. All of the issues examined earlier which affect and affected the adoption of development planning in schools have been emerging as the process develops: micropolitics, power, personality issues, values, chaos in policy-making have all had to be dealt with. The government is now committed to launching a 'Virtual Teachers' Centre' in

January 1997. Where the TeacherNet initiative sits within that is currently being negotiated.

It is too early to say to what extent professionals' interests will win over political interests as the final stages of the innovation are embedded. Policy making in education is *inevitably* a political activity - the effectiveness of the education system is of such concern to the nation that this is unavoidable. However, I suggest that the activity of the politicians can be moderated through the establishment of a democratic structure for guiding educational reform such as a General Teaching Council. The proposal for the TeacherNet initiative is that it is run by individuals who can be *elected* from a range of groups with a legitimate interests such as head teacher organisations, universities, the inspectorate, subject specialist groups and parents. Whether such a democratic forum will be allowed within the National Learning Grid remains to be seen.

The development of the TeacherNet project provides an example of the proactive role I suggest for researchers linking research and development and HEIs working in collaboration with LEAs and teachers. The work has reached an interesting stage - to what extent will the desires expressed by educators be taken account of in the final developmental stage? I predict that the initiative will be taken over for political ends. The need for government to feel in control will keep professional needs in check.

## CONCLUSIONS

In this submission, I have shown how the application of grounded theory linked with democratic evaluation research principles led me to a theory of how innovations at the local level in the education system can be used to change the professional knowledge base and influence whole system development.

In Section 8, I have shown how a strategy for developing a national, independent professional on-line service for teachers supporting change in the use of ICT in teaching and learning has been built on the theory which I have derived from an analysis of the embedding of new knowledge about development planning.

Since 1989, when the School Development Plans Project first produced national advice for schools, school development planning, action planning and the evaluation of such plans appear to have become normal practice for school management. The practice seems to be beginning to permeate all levels of the profession including initial teacher training. At national level, for example, OFSTED, DFEE and TTA publications now assume the existence of school development plans (see, for example, DfE, 1995; TTA, 1995; OFSTED, 1995a, b; DFEE, 1996). At the level of initial teacher education (training), student teachers are provided with information about their role in the process (Capel, Leask and Turner, 1995, 1996). I suggest that it



is reasonable to claim that this knowledge about whole school planning is now embedded in the professional knowledge base.

It is acknowledged that the changes in practice which might result from the application of the model I outlined in Section 8 will almost inevitably be at variance with the original intentions of the educationalists who developed the innovation in the school context because of the political context of whole system change. Such appears to be the nature of change. Ideas from one context are inevitably transmuted when transplanted into another context. The micropolitics of situations, for example, affect the perceptions of individuals about the intentions of those introducing the innovation and this critical factor can profoundly affect the quality of an innovation's implementation. A lesson learnt from the implementation of the ideas of planning and evaluation discussed in this paper is that even apparently rational approaches to change become trapped in the unpredictable chaos of micropolitics and macropolitics when implementation is underway.

It is argued that the model can bring 'bottom-up' whole system change if HEI researchers accept they have a moral and professional responsibility to participate in development as well as research, i.e. to make their findings available in ways which ensure they have an impact on the professional knowledge base. The model of change emerging from this work has implications for the relationship between research and development which is acknowledged to be weak in education. This shift in the role of

the HEI researcher has a knock-on effect on the costing of educational research and if it is to include development activities where research findings are put into practice, it also challenges the criteria that are currently used to judge educational research (HEFCE, 1997).

If educational researchers are to counter current criticisms of the lack of relevance of their role, then perhaps the mutual roles and responsibilities of HEI researchers, government, schools and LEAs to work together collaboratively in linking research with development could become explicit. This responsibility would entail extending the traditional researcher's role to ensuring that research findings do actually impact upon the professional knowledge base and judging the quality of research accordingly.

**Paper 1**

**LEASK, M. (1987)**

**The TVEI Internal Evaluation: 1984-1987  
Summary of Research Findings**

*Unpublished paper, London Borough of Enfield*



**London Borough of Enfield**

**THE TVEI INTERNAL EVALUATION:  
1984 - 1987**

**A Summary of Research Findings**

**September 1987**

**Marilyn Leask**

## PREFACE

This paper is a summary of the findings of the research I have carried out into the work of teacher-evaluators in Enfield since 1984.

It draws on the research carried out by myself, a teacher seconded to support the TVEI Internal Evaluation (1986/87) and that of Lynda Norton (seconded 1985/86). The views expressed are my own interpretation of the research findings.

Those wishing to read the results of the research in detail are referred to Lynda's dissertation "Supporting Teacher Evaluators" (1986) and my thesis "Teachers as Evaluators : A Grounded Approach to Project Evaluation" (1987). The former is held at the Institute of Education, University of London and the latter will be held at the Cambridge Institute of Education. A copy will also be placed in the Teachers' Centre Library in due course.

*Mandy Leach*

September 1987

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## A) Background information

### Evaluation theory in the UK

Educational evaluation theory in the UK has been developing over the past fifteen years from a position where 'quantatative evaluation' predominated to a position where 'qualitative evaluation' is widely practised. The quantatative approach, using tests and other forms of measurement had been found inadequate in providing information about the processes affecting curriculum development whereas the aim of the qualitative approach is to report these interrelationships. In Enfield, the qualitative approach to evaluation was adopted by those planning the TVEI evaluation but quantatative methods were also to be used where they were considered appropriate.

### TVEI Evaluation in Enfield

The evaluation of TVEI in Enfield was planned by a working party consisting of teachers, advisers and a professional evaluator. A plan was negotiated with the MSC which provided for an initial eighteen month external evaluation with a training input from a full time evaluator. During this time teachers were to be trained to carry on evaluation work beyond the 'external phase': the phrase 'Internal Evaluation' refers to the work done by these teachers. This paper reports on the work of the Internal Evaluation and experiences of the teacher-evaluators.

Teachers are approached or volunteer for the work which is additional to their other duties. The evaluation work is carried out in their spare time although some all day training sessions were held.

Two LEA supervisory groups govern the conduct of the evaluation. The TVEI Evaluation Advisory Group (EAG) which meets monthly oversees the work of the teacher-evaluators - who are also supported by a seconded teacher - and the Borough Evaluation Steering Group which oversees all evaluation projects in the LEA.

During the research, a number of issues relating to the work and the role of teacher-evaluators were found to cause concern, be of positive benefit or in need of clarification. This report summarises these findings.

## B) Collecting data for the research

Data informing the research findings was collected in a number of ways: interviews, anonymous questionnaires, archive search, report analysis, observation (field notes), diaries and the use of the electronic mail network.

Interviews were used as the principal method of obtaining information and thirty-one interviews were held with individuals representing a variety of interests and differing degrees of involvement in the internal evaluation.

With the exception of two schools involved in the project, one or two staff were interviewed from each institution. These two schools were omitted because of staff changeover and it was felt that the selected group was sufficiently representative. Two colleges of further education were also omitted because they were significantly less involved than the schools.

Seven groups were identified as being in a position to usefully comment on the teacher-evaluator approach and the numbers after the group indicate the number of individuals interviewed.

- professional evaluators (9)\*
- LEA advisers and officers (6)
- head teachers (4)
- the project central support team (3)
- school project co-ordinators (4)
- teacher-evaluators (4)
- the nucleus group :those involved in establishing the teacher-evaluator approach (6 : 5 of whom are included in the above groups)

Many interviewees had experience in several of the roles, they are included in the group in which they were most active. Eleven for instance had had some experience as teacher-evaluators.

Anonymous questionnaires were distributed to all of those who received two of the teacher-evaluators' documents. Two documents were selected to allow time for the return of the questionnaire so that responses could be used in the thesis. The purpose of the questionnaire was to elucidate views on the usefulness of the documents and to provide information on their utilization.

Full details of the research methodology are contained in the thesis.

\* These were face-to-face interviews. In fact the evaluators of over half of the TVEI projects in England, Scotland and Wales were contacted for their views on the teacher-evaluator approach to evaluation and the vast majority were interested and supportive of the method.



## PREFACE

This paper is a summary of the findings of the research I have carried out into the work of teacher-evaluators in Enfield since 1984.

It draws on the research carried out by myself, a teacher seconded to support the TVEI Internal Evaluation (1986/87) and that of Lynda Norton (seconded 1985/86). The views expressed are my own interpretation of the research findings.

Those wishing to read the results of the research in detail are referred to Lynda's dissertation "Supporting Teacher Evaluators" (1986) and my thesis "Teachers as Evaluators : A Grounded Approach to Project Evaluation" (1987). The former is held at the Institute of Education, University of London and the latter will be held at the Cambridge Institute of Education. A copy will also be placed in the Teachers' Centre Library in due course.

*Marty Leach*

September 1987



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## A) Background information

### Evaluation theory in the UK

Educational evaluation theory in the UK has been developing over the past fifteen years from a position where 'quantatative evaluation' predominated to a position where 'qualitative evaluation' is widely practised. The quantatative approach, using tests and other forms of measurement had been found inadequate in providing information about the processes affecting curriculum development whereas the aim of the qualitative approach is to report these interrelationships. In Enfield, the qualitative approach to evaluation was adopted by those planning the TVEI evaluation but quantatative methods were also to be used where they were considered appropriate.

### TVEI Evaluation in Enfield

The evaluation of TVEI in Enfield was planned by a working party consisting of teachers, advisers and a professional evaluator. A plan was negotiated with the MSC which provided for an initial eighteen month external evaluation with a training input from a full time evaluator. During this time teachers were to be trained to carry on evaluation work beyond the 'external phase': the phrase 'Internal Evaluation' refers to the work done by these teachers. This paper reports on the work of the Internal Evaluation and experiences of the teacher-evaluators.

Teachers are approached or volunteer for the work which is additional to their other duties. The evaluation work is carried out in their spare time although some all day training sessions were held.

Two LEA supervisory groups govern the conduct of the evaluation. The TVEI Evaluation Advisory Group (EAG) which meets monthly oversees the work of the teacher-evaluators - who are also supported by a seconded teacher - and the Borough Evaluation Steering Group which oversees all evaluation projects in the LEA.

During the research, a number of issues relating to the work and the role of teacher-evaluators were found to cause concern, be of positive benefit or in need of clarification. This report summarises these findings.



## C) Summary of the research findings

### 1.0 General views of the teacher-evaluator approach

#### 1.1 Views of those within the LEA

There was general agreement among interviewees that the emphasis on and provision of training for evaluation skills was a positive move for curriculum and professional development. Evaluation reports provided a framework for discussion within which staff could be objective about their work and that of the project - issues were depersonalised when presented in a report based on research.

Some heads reported a desire to develop evaluation within their own institutions. Staff transferred skills developed through their evaluation work to other aspects of their professional life.

A minority felt that reports should be more judgemental, and/or based on quantitative techniques - differing views on these issues are also held by those within the professional evaluation community.

Possible bias of those involved was not felt to be a problem as the teacher-evaluators were generally known within the LEA. Teacher-evaluators themselves reported striving against their own biases to present a fair picture. The fact that most reports are produced by a group and all are checked by a panel from the TVEI Evaluation Advisory Group was also seen as a check against individual bias. In any case, external evaluators are not perceived as free from bias.

The researcher started from the position that the teacher-evaluations had probably had minimal impact and were possibly disregarded by those for whom they were intended - these hypotheses were contradicted by the evidence. The evaluation work was found to be used by many of those for whom it was intended and it had impact in many areas of professional life within the LEA. This does not mean that there are aspects of the approach that are not weak or that there were no critics but that the overall impact has been positive.



## 1.2 Views of professional evaluators

Professional evaluators responsible for over half of the TVEI evaluations in England, Scotland and Wales were approached by personal interview or by telephone. A majority were very supportive of the teacher-evaluator approach with a number planning to start similar initiatives this year.

They acknowledged that evaluations by those outside the LEA, while offering advantages in the area of expertise, breadth of knowledge and remoteness from an LEA's political problems, were often slow or felt to be irrelevant by those involved and thus were not used.

They felt that teachers had an advantage in that they possessed inside knowledge and would know immediately who within an LEA held information relevant to a field of research. They would also have a clear idea about which problems needed researching.

However the comment was made that the political and ethical problems which are encountered regularly in evaluation could interfere with a teacher's career prospects and that the teachers could experience divided loyalties when involved in certain issues. If these problems were anticipated then supportive and protective structures could be developed.

## 2.0    Role of teacher-evaluators

### 2.1    Selection of teacher-evaluators

Selection of teacher-evaluators has been carried out in a variety of ways: heads have nominated, staff have responded to LEA letters, and teacher-evaluators have involved other colleagues.

Relevant qualities were considered to be an open mind, the ability to withstand pressures, to preserve confidences and to create an atmosphere of trust. Teacher-evaluators must be experienced, able to work in teams, show sensitivity and empathy, and able to work to deadlines.

The professional status of teacher-evaluators was not felt to be important except that it was acknowledged that staff whose work was being evaluated would probably be more open with and less threatened by peers.

### 2.2    Training of teacher-evaluators

Training days have been held as and when considered necessary for the training of staff new to evaluation or for the planning of evaluative investigations. Training has been provided either by those within the LEA with the expertise or by outside evaluators.

Issues to be included in a training programme were felt to be : hostility management, management skills, data collection techniques, report writing, ethics of evaluation.

A collaborative model for learning evaluation skills was universally accepted as the way to develop expertise - less experienced staff working with more experienced staff with the support of a professional evaluator.

However, any training programme for teacher-evaluators needs to take into account the constant turnover of those involved (see 2.4).



### 2.3 Commitment required

Teacher-evaluators gave lack of time to do a thorough job as a major reason for dissatisfaction with their work. Professional evaluators commented that teacher-evaluators need time not just to collect data and plan investigations but also to read and think about evaluation work. From data gathered during the research, it has been estimated that each report takes the equivalent of five weeks of one person's time to produce - plus typing time.

Initially (1984), teachers who were invited to become involved in evaluation work were told that the work would be done on days during which they would be released from school - several days during the year. This never happened as the industrial dispute disrupted plans. Teachers who became involved carried out the work in lunch hours, after school and during the holidays. During the academic year 86/87, teachers were allowed two days at the discretion of their schools to write up their reports. Few teachers were able to take advantage of this offer which was formalised after most had done the bulk of the work. It is no surprise, that teacher-evaluators felt their work would benefit if perhaps .1 of their timetable could be devoted to it.

Some professional evaluators expressed surprise that teachers were doing this type of work voluntarily with 'no apparent incentives'.

### 2.4 Motivation

Teacher-evaluators were asked why they had become involved in the work. Some had responded to a request by for instance their head teacher, others had become involved through friends or through letters sent out by the LEA. The majority gave the reason for involvement as enhancing their skills at assessing their practice.

The time commitment and taking on of new responsibilities were reasons for ceasing to become involved. There has been regular turnover of staff with most staff involved in two or three reports - most of those involved have gained promotion during the period of their involvement.



## 2.5 Method of working

Issues for investigation are decided by the TVEI Evaluation Advisory Group (EAG) and may be suggested by anyone in the LEA (see 6.2). Teacher-evaluators then either volunteer or are asked to join particular investigations. These are planned with the help of the seconded teacher and others with relevant expertise. A team leader is appointed and becomes a member of the TVEI Evaluation Advisory Group.

The involvement of teachers can encompass any or all of three roles: planning the investigation; collecting data; writing the report (usually a group effort).

The draft report is then referred back to a reading panel appointed by the EAG for discussion. Methodology and ethical procedures are checked. Publication and distribution is then authorised by the EAG. Reports have so far taken from two to nine months to reach the reader (see Appendix1). Delays have been particularly due to lack of clerical support.

Timeliness of reports is a constant problem for evaluators and delays can mean a report which has taken months to prepare is useless because decisions have already been made.

## 2.6 Bias and credibility

There was a general consensus that both external and internal evaluators had to cope with problems of personal bias and that teacher-evaluators would not suffer any more severe problems than outsiders particularly as their personal points of view were more likely to be known within the LEA than those of external evaluators.

The teacher-evaluators reports were generally considered to be credible and unbiased though limited in scope.

## 2.7 Concerns and difficulties

Some teachers reported feeling isolated when carrying out their part of an investigation. This was often due to inadequate team leadership and poor communication. Some team leaders did not have a clear perception of their role in communicating with and supporting other members of the team. This issue should be addressed during training and when teams are set up. Working with teachers in other schools and mutual support was reported as one of the important and enjoyable aspects of the teacher-evaluators' work. This team work contributed to professional development through cross-fertilisation of ideas and sharing of information.

Another concern expressed by teacher-evaluators was to do with the status of their work. Many staff did not know how the TVEI evaluation was planned and carried out. Ethical procedures were not widely understood. However, the Borough Evaluation Advisory Group is remedying this with the production of a document on evaluation procedures which will be distributed to all schools. The view was expressed that the role of the teacher-evaluator should given wider recognition within the school.

The teacher-evaluator within a school could play a wider role in promoting discussion of evaluation findings, in staff training and in developing evaluation skills within the institution.

## 2.8 Professional development of teacher-evaluators

Those involved were usually of head of department status and all were experienced teachers. A study was done of the career changes of twenty teachers who had been or were involved in the teacher-evaluations. Of the twenty, all except four experienced a change in their career during their involvement with the evaluation - either through promotion or through secondment or through both. All reported that they felt their practice had been improved and that the wider perspective they gained through working with people from other schools was particularly valuable. It was beyond the scope of the research to discover whether those who became involved in teacher-evaluation would have been promoted or seconded in any case.



### 3.0 Role of the seconded teacher/ Co-ordinator of the evaluation

The sustaining of the network of teacher-evaluators and the supporting and co-ordination of their work is a time consuming yet vital role at present carried out by the seconded teacher. Various responsibilities of the role include:

- recruiting teacher-evaluators
- liaising with professional evaluators
- training teacher-evaluators
- supporting the work of teacher-evaluators and dealing with problems they encounter
- collecting data where this is difficult for team members
- liaising with head teachers about access and ethics
- keeping the EAG informed
- organising feedback sessions and stimulating debate
- drawing reports to the attention of those with responsibility for the areas evaluated
- arranging INSET and conferences
- packaging and distributing reports
- organising mailing lists
- organising the typing and production of reports

The seconded teacher is also registered for a higher degree at the Cambridge Institute of Education. There were a number of similarly seconded teachers at the C.I.E.. In the academic year 1986/87, none of those registered for higher degrees completed them within the seconded year or were apparently expected to by the Institute. The extended nature of this time commitment was not made clear to students at the outset by either the Institute or the LEA.

### 4.0 Role of an outside evaluator within the teacher-evaluator approach

Utilization of the services of a professional evaluator during the year 86/87 was not possible because of financial constraints. However, a joint approach was favoured by most interviewees.

Outsiders were felt to provide a wider perspective, and to be more aware of wider issues which should be tackled than insiders. They could provide support and expertise in research areas and be a reference point for further information. Professional evaluators were felt to possess more skills and to evaluate issues in more depth than insiders although this perception may relate to the experience of those in this LEA who were aware of the work



of a full time evaluator in the LEA. Funding is rarely available for a full time evaluator. More usually, professional evaluators who are also academics, use their students to collect data. Shortage of time to evaluate properly was a problem mentioned by external evaluators.

It was felt that hostility which was often engendered by evaluation would be less of a problem for external evaluators as they leave it behind when they finish working for the LEA. This is not possible for teacher-evaluators.

Many interviewees felt that the involvement of an external evaluator added status and validity to the work although a number commented that this status and validity was spurious.

The external evaluator faces difficulties different to those of the internal evaluator. Access to documentation and to personnel can be denied without their knowing. Some interviewees commented that outsiders could be out of touch with what is happening particularly at a time of rapid change in education. The building of trust and credibility essential to evaluation is time consuming and external evaluators were felt to take longer to get to the heart of issues. Although they may appear to be objective, they bring biases to the LEA which are often not known by those within the LEA and their independence may only be apparent. However, their contribution as trainer, anonymiser and catalyst was recognised.

## 5.0 Teacher-evaluation reports

### 5.1 Progress to date

A summary listing reports produced and covering different aspects of the reports is included as appendix 1. In addition two investigations into the area of special needs within TVEI are underway and are expected to report before Christmas 1987.

### 5.2 Findings to date

There have been requests for a summary of the findings from all reports published to date. These are included as appendix 2.

### 5.3 Style and methodology

Many interviewees commented that the brevity of the reports (10-20 pages) ensured that they were read. They admitted that thick reports were often put aside because their busy schedules do not allow for extended reading time.

The style and methodology of the reports was generally found to be acceptable although some felt that the sample size was often too small and in other cases that the reports did not tell them anything new. This is to be expected when the investigations have been carried out in areas with which these people are familiar. However, as one professional evaluator pointed out people often do have knowledge about what should be done but the existence of a published report making the knowledge public forces action to be taken.

There was some feeling that the reports should include a wider perspective - perhaps including national findings for comparison and a reading list for those interested in pursuing the topic further. It was suggested that the external evaluator or the seconded teacher could provide this information.

### 5.4 Circulation

With the exception of the report on Tec/Voc options, the reports have been widely circulated within the LEA. The report on Tec/Voc options was circulated to those with the authority to take action as a result of the findings.

### 5.5 Effectiveness

Interviewees defined effective evaluation as provoking debate and providing a stimulus for change. It was acknowledged that change is rarely the result of one influence but the result of a number of pressures, one of which could be evaluation.

The effectiveness of the evaluation varied from institution to institution and generally relied on the initiative of individuals in taking up the issues. There were many reports of the level of debate between colleagues being raised and changes resulting from the initial stimulus from the evaluation. In other institutions, little happened - apparently because no one took on the responsibility for setting up any forum for discussion.



Feedback sessions were held with major interest groups on particular issues. However at committee level, unless individuals took on responsibility for provoking discussion it appeared that reports were received and filed rather than seen as active working documents to be used to inform practice.

The perception of the documents as completed reports rather than working documents needs to change if the evaluation is to improve its effectiveness. The formative role of the evaluation needs to be communicated to the audience. Retitling the documents may help: the use of the words 'working paper' in the title was given as an example of a way of making the purpose of the documents clearer.

## 6.0 LEA Support structures

### 6.1 Procedures

The structure and functioning of the TVEI Evaluation Advisory Group (EAG) and the Borough Evaluation Advisory Group were little known in the LEA and some teacher-evaluators felt wider knowledge would lend support to their work. Publication of the membership of the EAG on evaluation documents would give status to the work and also perhaps protect teacher-evaluators reporting on sensitive issues.

The reading panel function of the group appears to work well; ethical guidelines are clear and teacher-evaluators report feeling autonomous and not constrained in their work by LEA pressures. They considered that they were able to work independently of direct LEA influences although the possibility of inner conflicts of loyalty between colleagues and the LEA over the publication of controversial data were acknowledged.

The EAG appears to work reasonably well in supporting the teacher-evaluators' work but has not been effective in ensuring the provision of resources or facilities for production of documents. Financial problems have not been quickly solved. However these problems were under active discussion in the summer of 1987 and may now be resolved.

### 6.2 Issue selection

Astute selection of areas for evaluation influences the usefulness of evaluation. However clear procedures for issue selection have not been established.

Initially the Internal Evaluation was seen as having a finite life span - that of TVEI. However with the extension of TVEI and the growth of interest in the LEA in evaluation this narrow perspective needs to be revised and perhaps wider long term issues addressed rather than short



term issues as has been the case to date. Longer term planning could yield more useful evaluation. Many interviewees felt that in choosing issues, an external evaluator could offer a different viewpoint which could be usefully combined with the detailed knowledge of the insider.

## 7.0 Key elements in the success of this approach

Trust: Openness between institutions and the existence of an atmosphere of trust within the LEA have been key features enabling the work of teacher-evaluators to take place.

Supportive structures/autonomy : LEA support structures and the team structure play an important part in allowing teachers to work independently of LEA or school pressures and in setting standards for evaluation work. The role of co-ordinator is vital in maintaining the momentum of the work and liaising between the various participants.

Ethical code: The adherence to an ethical code understood by all involved and strictly enforced is essential to establishing the trust which is needed for staff and schools to openly share failures as well as successes.

Relevance: Some investigations proved less fruitful than others. Nevertheless, one of the contributions the work has made has been to give pupils and teachers at all levels a voice - aspects of the day to day functioning of schools and classrooms have been communicated with staff at all levels of the LEA. This type of information was not easily available previously.

Timeliness Facilities are needed for the prompt production of reports so that they can be used when relevant decisions are being made.

Follow up: The production of a report should not be seen as the end of an investigation - discussion and consideration of the findings are the essential next stage.

## 8.0 Pitfalls

Evaluation can be destructive unless an ethical code is established, made clear to those involved and adhered to.

Teachers involved as evaluators must be supported, given status, training and time if their work is to be respected and if they are not to be victimised when sensitive issues are explored. As the problems of dealing with sensitive and political issues apply to external as well as internal evaluators mechanisms for dealing with these issues need to be established.

The time commitment required of teachers must be realistic. There should be recognition that the whole picture can never be represented. The evaluation can only provide snapshots of the action.

Issue selection, timing and relevance of reports must be considered carefully if the evaluation is to be perceived as being effective. The possible tendency of internal evaluators to avoid difficult issues needs to be recognised and tackled. Feedback sessions to interested parties should be organised and relevant committees asked to actively debate findings. Mechanisms ensuring the discussion and use of evaluation findings must be established otherwise consideration of the findings is left to chance.

The contribution of the external evaluator needs to be formally negotiated.

## 9.0 LEA Outcomes

The effects of the teacher-evaluator approach have extended far beyond the production of reports on aspects of TVEI. The expertise which staff have gained in report writing and in evaluating practice has been transferred to other aspects of their work.

The level of debate on issues has been raised through the stimulus of evaluation reports (one was used in the planning of an INSET course).

A positive view of the potential of evaluation is widespread - some heads have extended evaluation to aspects of the curriculum outside TVEI.

Channels of communication between staff at different levels of the LEA have been improved as the views and experiences of those involved in curriculum change (from pupils to heads) are reported to staff at all levels.

The LEA has gained in terms of building up expertise among teaching staff, the creation of a more reflective profession, the welding of a sense of common purpose across the LEA and a growth of evaluation as teacher-evaluators apply their skills in other areas.



Analysis of teacher-evaluator reports

With the exception of the most recently produced report, all reports have been widely circulated and are available within the education authority. One hundred and fifty copies are usually printed.

DOCUMENT and DATE	SELECTION of ISSUES	AIM	METHOD	PERSPECTIVES REPRESENTED	TIMING :date circulated/ production time/ cause of delay	FEEDBACK SESSIONS
INSET Oct.85	EAG/ext.ev.	perceptions of INSET over 2yrs	interview doc.search	providers consumers	Jun.86 /18mths/ industrial action/staff change	none
PROFIL- ING Apr.85	EAG/ext.ev.	national trends local perceptions	interview doc.search 4/12 schools	staff pupils	Jun.86/18mths/ admin.- lack of procedures	none
RECRUIT -MENT Mar.86	EAG/ext.ev	patterns of option choice	interview doc.search quantitative data analysis	pupils (parents)	Jun.86/9mths/admin.- lack of procedures	none
WORK EXP. Mar.86	EAG/ext.ev.	examine work exp. element of TVEI	interview doc.search 4/12 schools	employers pupils/staff Proj. Trident staff	Jun.86/9mths/ admin.- lack of procedures	none
RECRUIT -MENT 1986 Jul.86	EAG	identify factors causing drop in recruitment	interview quantitative data analysis 3/10 schools	pupils staff	Sep.86/4mths	school co-ords.
GENDER ISSUES Oct.86	EAG	identify factors affecting girls taking TVEI/CDT	interview q/aire doc.search 4/10 schools	pupils	Oct.86 /5mths	co-ords. CDT HODs special interest groups
ASSIGNMENT BASED CURRIC. Mar.87	TVEI CO-ORD.	identify problems provoke discussion	q/aire 14/17 institutions	staff	Mar.87/2mths	resident -ial



APPENDIX 1 continued

TVEI: A WIDER CURRIC. Mar.87	LEA staff consulted	investigate TVEI integration	interview case study/ one school	staff	Mar.87/6mths/clerical delay 2 1/2 mths	none
TVEI : RESID- UALS May 87	LEA staff consulted	investigate resid- ential experience	q/aire 7 schools	pupils parents staff	Jun.87/9mths/clerical delay 5mths	none as yet
INTROD- UCING TVEI Jun.87	LEA staff consulted	highlight setting up TVEI issues	interview 2/2 new schools	staff	Jun.87/9mths/clerical delay 3mths, data clearance 2mths	none as yet
TEC/VOC OPTIONS Jun.87	LEA staff consulted	consortia issues	interview	pupils staff	not circul.as yet/ 8mths/staff illness	none as yet

\* the circulation list has not yet been agreed for this document.

## APPENDIX 2

### SUMMARY OF THE ISSUES RAISED IN INTERNAL EVALUATION DOCUMENTS to SEPTEMBER 1987.

#### 1) In-Service Training                      October 1985

Rapid course modifications caused insecurity and frustration among staff and frequent changes in personnel accentuated anxieties and difficulties. The speedy implementation of curriculum change caused a high level of stress. INSET requirements should have been anticipated and planned for - not carried out after the event.

#### 2) Profiling                                      Spring 1985

A lack of support was noted in three main areas:

- a) provision of time for staff to complete the profiles.
- b) secretarial support for typing up the completed profiles.
- c) training of staff.

#### 3) Work Experience                              March 1986

Work experience was generally thought to be worthwhile by both employers and pupils however there was particular anxiety over the length of the work experience. Missing three weeks' school work was seen to be a problem.

#### 4) and 5) Recruitment                              March 1986, July 1986

Publicity was not prepared well enough in advance of pupils choosing options. Parents and staff were not well enough informed. In some schools, the programme offered was too restrictive of option choice.

#### 6) Gender Issues No.1                              October 1986

There is wide variation between schools in pupils' readiness to make non-traditional option choices. Materials to support schools and to inform pupils and parents are needed. In CDT classes some girls felt at a disadvantage because too much background knowledge of the use of tools was assumed. The findings pinpoint the need of schools to take action to reduce sex stereotyping.

## APPENDIX 2 continued

7) Assignment Based Curriculum      March 1987

Teachers working in new curriculum initiatives which largely involve assignment work with students were found to have had little support, INSET and guidance on how to structure and plan their work with the students. Expertise did exist among teachers who taught in areas where assignment based work had long been a feature but this was often not tapped by those involved in new initiatives.

Although these new approaches stressed the profiling and counselling of students in assessing and planning progress, in many cases this did not happen because no time was made available in which this could take place.

There were diverse views on what constituted acceptable standards for assignments - many teachers favoured school or LEA based moderation. Strategies were needed to ensure progression in a student's assignment work.

Although students and teachers enjoyed the new approaches there were areas of concern: lack of time, resources and INSET; poor pupil/teacher ratios; little access to well written and designed assignments.

8) TVEI - A Wider Curriculum      March 1987

Staff in one school were asked about the impact of TVEI on their work. All departments were found to be changing teaching styles in the light of curriculum developments (TVEI, CPVE, GCSE, SMILE, profiling, records of achievement) and it was not possible to attribute responsibility for the changes to any particular initiative. However, the majority of staff seemed to be of the opinion that TVEI had been good for curriculum development within the school. Many of the changes had taken place in upper school courses and it was felt the changes also had to permeate down to the lower school.

It was recognised that changing teaching style was difficult and INSET was needed to help teachers cope. Class sizes, money and resources were seen as key issues.

Consultation about curriculum changes in the school had been thorough and was appreciated by staff.



APPENDIX 2 ctd.9) The TVEI ResidentialMay 1987

The 1986 TVEI residential proved to be an overwhelming success for all concerned and there was general consensus amongst the different groups ( teachers, pupils, parents) regarding the value in educational, social and personal terms of such experience. Clear and positive links between residential experience and TVEI philosophy and practice were perceived by staff and students.

10) Introducing TVEI: Some ExperiencesJune 1987

Factors contributing to the success of TVEI within schools were identified. These included the careful selection of the TVEI co-ordinator - personal qualities were found to be more important than subject background ; the establishment of a team approach; staff access to the Base Room; sharing of good practice across the LEA; availability of suitable resources; development of inter-departmental links; time for team meetings.

Some problems were noted. The ordering of resources through the Civic Centre caused unnecessary delay. Heads felt the system should be the same as for school capitation. Some staff resisted the changes particularly when staff redeployment was occurring in other areas. Little INSET had been offered to teachers other than the TVEI co-ordinator. Not enough time was allowed for thorough planning before implementation.

11) Tec/Voc Options: Some AspectsJune 1987

Many staff were positive about the content of the Tec/Voc options but there were many administrative problems. The timing of lessons needs to be carefully planned and a realistic appraisal of journey times must be made. There were problems in checking attendance and punctuality and pupils reported a lack of continuity and familiarity with staff. A radical change in the organising and allocating of Tec/Voc courses is required if the options are to become more fully integrated into school life and be offered to many more pupils in Enfield.

**Paper 2**

**LEASK, M. (1988a)**

**School and College Evaluation Guidelines**

*Commissioned by London Borough of Enfield*

**London Borough of Enfield**

**Evaluation Guidelines**

**for**

**ENFIELD**



# INTRODUCTION

Evaluation has always been practised by teachers - pupils have been observed, results analysed and the teaching has been modified accordingly. However, recent changes in funding for education and increasing demands for accountability have been accompanied by the requirement of more formal evaluation which now involves all educational institutions in the LEA.

The aim of this document is to break down the mystique surrounding evaluation by providing clear ethical and procedural guidelines for staff to use when negotiating with outside evaluators or carrying out evaluations in their own institutions. It is intended that it be used in conjunction with other evaluation training.

Colleagues requiring further information and advice on evaluation should contact the appropriate adviser or AEO.

Marilyn Leask  
May 1988

- 1) Introduction
  - 1a) Definitions
- 2) The Need for Ethical Guidelines
  - 2a) Accountability
  - 2b) Participation
  - 2c) Negotiation
  - 2d) Confidentiality and Control of Information
  - 2e) Impartiality and Balance
- 3) Evaluation and Change
- 4) Reporting Evaluation Findings
- 5) Pitfalls and Gains
- 6) LEA Contacts
- 7) Resources
- 8) Appendix 1 : Ethical Guidelines - A summary for staff

## 1a) **DEFINITIONS**

In order to clarify the use of different terms, the following definitions are included.

Evaluation\* is a general term used to describe any activity by an institution or the LEA where the quality of the provision is the subject of systematic study.

"It involves the collection, analysis interpretation and reporting of evidence about the nature, impact and value of the entity being evaluated with due attention to concerns and issues identified by the various interested parties."

Thus activities involving Monitoring, Review and Assessment can be considered as aspects of evaluative practice if systematic analysis of data is used to provide information for decision making.

## 2) **THE NEED FOR ETHICAL GUIDELINES**

A clearly stated code of practice provides protection for evaluators and participants, safeguards the objectivity of the evaluation, and encourages involvement of staff. Thus in order to establish an atmosphere conducive to effective evaluation and to protect professional relationships, clear procedures relating to the ownership, control, and checking of data must be established.

Many staff will have had some experience of the two branches of evaluative practice - quantitative evaluation which focuses on the analysis of statistical data and qualitative evaluation which attempts to report the complex processes involved in education change through documentary analysis, interviews, observation and reporting the perspectives of participants. A code of practice is particularly important in a qualitative evaluation where opinions and experiences are being sought and reported.

The guidelines covered in the following pages have been agreed by the Enfield Evaluations Steering Group and apply to all evaluation in Enfield whether carried out by those working for the LEA or by external evaluators. Where guidelines are relevant to several sections they have been repeated as an aid to clarity and to reinforce their importance.



## 2a) **ACCOUNTABILITY**

The procedures for accountability depend upon the purpose of the evaluation. Evaluations carried out by those external to the LEA are accountable to the Enfield Evaluations Steering Group (EESG) as well as to the institutions involved.

Reports produced for a school or college are subject to procedures agreed with them but should be referred to the EESG if wide circulation is envisaged.

Procedures for accountability:

1. The evaluator should be accountable to the participants in the ways outlined in the following pages. These procedures apply to evaluators from outside the LEA as well as to staff working within Enfield.
2. Ways in which the evaluation will be accountable should be negotiated with the evaluator/s before the evaluation begins.
3. The evaluation should be accountable to internal criticism and external checks from time to time and procedures should be agreed upon prior to the start of the programme.

## 2b) PARTICIPATION

Effective evaluation is not possible without the trust and collaboration of those involved in the work being evaluated. This trust can be created by following procedures which ensure that the participants' 'right to privacy' is respected. Information can be made available for sharing by making contributions anonymous if possible, and by clearing data with participants before use (as outlined in section 2d).

Ideally, participation in evaluation is voluntary, however, this freedom may be constrained where the LEA has a contractual obligation to undertake evaluation. Difficulties in this area should be raised with the appropriate phase adviser (see section 6: LEA Contacts).

Procedures governing collaboration and participation:

1. Every person has the right to participate.
2. Every person has the right not to participate (subject to LEA contractual obligations).
3. The evaluator should choose one or two persons within the institution to check reports for fairness, accuracy and relevancy.
4. The evaluator may chose one or two persons outside the institution (subject to internal agreement with participants) to help identify biases.

## 2c) **NEGOTIATION**

Negotiating a clear structure for an evaluation is important in building the trust which encourages people to participate. in particular, procedures for clearing data before use must be carefully negotiated with participants.

Negotiation procedures:

1. The evaluator should negotiate the boundaries of the study with participants.
2. The evaluator should seek access only to those data sources relevant to the issue under discussion. There should be no gratuitous reporting. What is relevant needs to be negotiated with the participants. Potential relevant data sources are people within the institution (head, teachers, pupils, ancillary staff) and outside the institution (employers, governors, parents, LEA advisers), school/college records, examples of pupils' students' work etc..
3. Reports/ statements should be negotiated for release to a specific group with the persons whom it concerns (teachers/lecturers, students/pupils, heads of institutions, advisers).
4. Reports should first be checked with the individual or group concerned Only with their agreement or amendments should reports be made accessible to other people.
5. Reports should be negotiated on criteria of fairness, accuracy and relevancy, not on personal grounds, e.g. whether the person looks favourable or unfavourable in the report.
6. On occasions one person may negotiate on behalf of a group (e.g. head of department on behalf of department) providing the group delegate this responsibility to that person.
7. If several people are mentioned in a report, information should be negotiated first with those who would be most disadvantaged if it were negotiated with all at the same time. (The question of who would be most disadvantaged in any one setting needs to be discussed). This helps to ensure that participants genuinely share control with the evaluator and share control and risk with the other participants.

Cont/....



Negotiation continued:

8. aware for whom the report is intended. If it is subsequently desired to circulate it to another group its release has to be re-negotiated.
9. The accessibility of any products of the evaluation should be negotiated with all the participants.

## 2d) **CONFIDENTIALITY and CONTROL OF INFORMATION**

Participants have control over the release of their own data. However, once an individual's contribution has been agreed, clearance need not be sought for summaries or for reporting general perspectives providing the source or person can not be identified.

Those involved with the evaluation should be shown reports first. If they do not agree with the report despite ethical procedures being followed, then they have a right of reply i.e. to have their response to the report included as an appendix.

Procedures governing confidentiality and control of information:

1. Conversations are confidential to the individual person and data obtained from conversations must be cleared before use.
2. The evaluator will not report anything or examine documents relevant to a particular person without his/her consent.
3. Interviews, discussions, staff meetings, committee meetings and written statements are all potential data for the evaluation. however, individuals have the right to restrict parts of the exchange or to correct or improve their statements.
4. Reports should aspire to be issue not person-orientated.
5. Pseudonyms or role designations should be used in reporting if attributing quotations to people.

While this does not offer anonymity, it depersonalizes issues that may be critical to discuss and which, if contentious, might become 'too personal'.

6. Clearance need not be sought for information summarising findings or reporting general perspectives on issues which involve no specific detail about persons or groups.
7. Where details are included which do identify the person or source, clearance is necessary.
8. Knowledge within the institution is subject to release after the agreement of an individual or group given that responsibility by the institution.

## 2e) IMPARTIALITY AND BALANCE

Because all individuals (whether from inside or outside an institution) have their own personal perspective or bias, procedures for checking bias in any evaluation must be established and made clear to participants - both those giving the information and those receiving the reports.

Procedures for ensuring impartiality:

1. The evaluator's role is to collect the judgments of others and represent a range of views on policy issues. S/he should withhold his/her own judgment in description and keep his/her own view out of reports.
2. The role of the evaluator is to describe what happens in policy meetings, staff meetings, the classroom, etc. - to report accurately and fairly whatever transpires, not to recommend what should happen : i.e. s/he should
  - inform decisions without prejudging them;
  - present options without prescription;
  - come to no final judgment;
  - present a range of perspectives on the issue;
  - not press particular viewpoints.
3. Self-reports by one person within the institution should also be descriptive adhering to the procedures above. 'Critical friends' within an institution should check for biases using the criteria of fairness, accuracy and relevancy. It is not their role to pass judgment on colleagues.
4. Conditions are the same for all. All participants should have equal access to the data once it has been negotiated. No one has the right to veto what is reported and cleared by participants. Those participating in the evaluation have the 'right of reply' - if they disagree with a report produced after the correct procedures have been followed then their views may be added as an appendix.



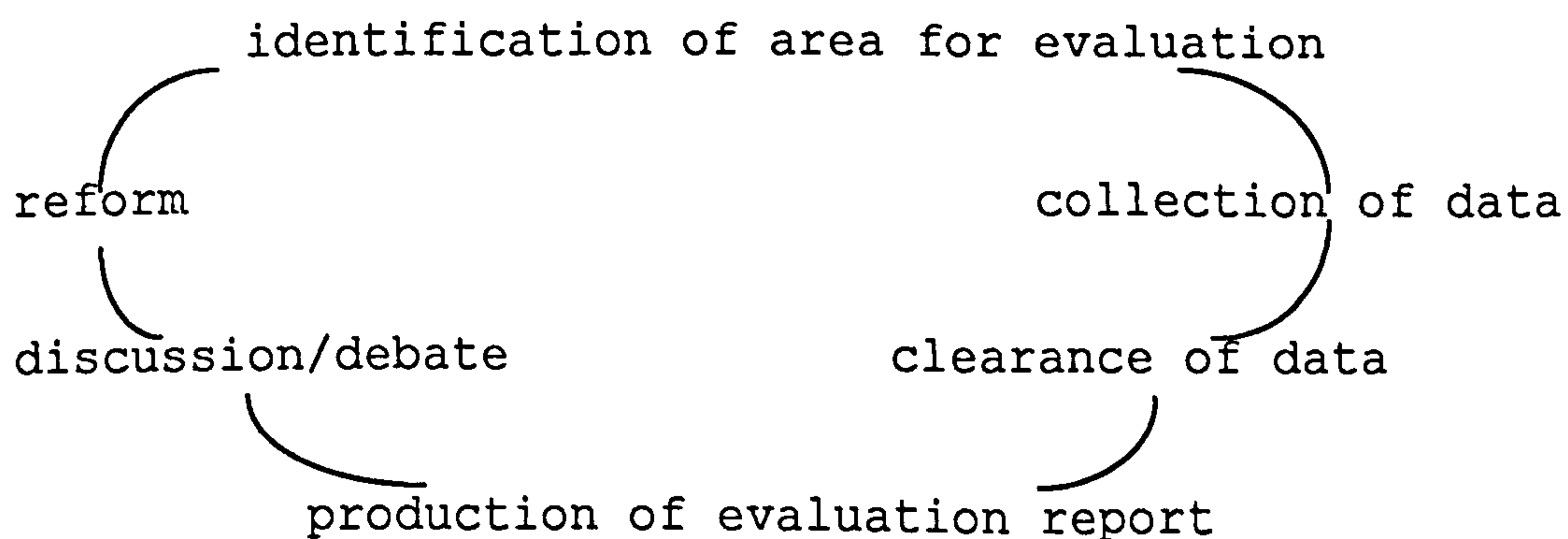
### 3) **EVALUATION AND CHANGE ; Using evaluation**

Most evaluation studies in which staff will be involved are intended to be formative - to be used as an aid to decision making and to inform practice. However, even where the evaluation is being carried out for the funding body, the findings can be put to use in reforming, developing and stimulating debate about a programme.

#### Non-use of evaluation reports

Lack of use of evaluation reports has been reported by many professional evaluators. There is a tendency for those receiving evaluation reports to treat them as providing a final statement rather than to use them as working documents providing a focus for change and development. The production of an evaluation report should be seen as the mid-point of the process of evaluation - not the end point. It is preceded by the identification of areas for evaluation and data collection and followed by discussion, debate and reform in the area being evaluated (or rejection of findings).

#### The Evaluation Process



To counteract the tendency for reports not to be used, mechanisms for using the findings of an evaluation need to be thought out. Debate and discussion of the findings should be planned to include all those who have an interest in the area being evaluated.

#### 4) **REPORTING EVALUATION FINDINGS**

Sections 2a - 2e cover the procedures which should be followed when evaluations are undertaken. this sections provides a summary of the procedures relating to evaluation reports.

##### Style of reporting

Reports can be written or given orally, for instance, at staff meetings. however this is evidence to suggest that the existence of a written report is more likely to bring about change. Staff often know what needs to be done and a written public report can provide supporting information. The style of reporting should be discussed and agreed at the outset. Reports should aim for anonymity of informants in order to protect the individual's privacy and to depersonalize issues.

##### Clearing reports

Data used must be cleared with informants first as outlined in section 2d. Those who have been involved in an evaluation should be shown the report first and if necessary, their differing opinions/views on the findings of the evaluation should be included as an appendix to the report.

##### Circulation of reports

This should be agreed with participants at the outset and if any wider circulation is later required, those involve din the evaluation must again agree. permission to use Enfield evaluation reports outside the LEA may be obtained from the Enfield Evaluations Steering Group. Where issues of LEA-wide interest are evaluated, copies of reports should be placed in the Teachers' Centre Evaluation Library.

##### Ownership of reports

Apart from reports produced for academic purposes (by, for instance, seconded teachers) the ownership of reports should be negotiated at the outset. Reports could be considered as belonging to the person who produces them or to the institution (school/College/LEA which commissioned them.

##### Publicity

It should be recognized by all involved that once a document is published, it may have wider circulation than was agreed and intended. Once data is made public, control can be difficult.



## 5) **GAINS**

In addition to the advantages of evaluation as a tool for improving the curriculum and management structures in an institution, there are gains for staff and students which are perhaps less obvious.

### Staff development

Some staff in your institution may have had some experience and training in evaluation techniques during their initial training, on courses undertaken since (for instance Open University courses) or through their involvement in various curriculum initiatives. This experience should be tapped by institutions developing evaluation strategies.

Recent research among those involved in evaluation in Enfield showed that staff felt they gained professionally through having the opportunity to develop skills which enabled them to investigate and reflect on their practice and that of others.

### Staff training

All teachers who are involved in evaluation should have some initial training which includes procedures, ethics and data analysis. It is recognized, however, that working together with those more experienced in evaluation provides a sound foundation. The phase advisers should be contacted for further advice on training.

### Improved communication

Students and staff are given a voice through qualitative evaluation which can be heard at all levels. Communication between students, staff and the institution (and the LEA where evaluations are borough-wide) can be improved through evaluation. Institutions gain particularly in that evaluation provides an extra dimension to decision making and depersonalises issues so that discussion is not hampered by personality conflicts.

## **PITFALLS**

Misunderstandings commonly arise during evaluations. However, thorough planning and adherence to the procedures outlined in this document should eliminate most difficulties or at least provide a framework within which differences can be resolved.

Cont/....



## Pitfalls and Gains continued:

### Use of data

Clearing data before use, preserving anonymity and being clear about the use to which data will be put are particularly important issues. Procedures for controlling release and clearance of data must be adhered to if co-operation is to be given by staff. The ultimate sanction over data release rests with the participants and unless they have confidence in the evaluation, they may withhold relevant information.

### Staff wariness

Staff may be wary of evaluation and thorough consultation, discussion and negotiation is necessary to ensure co-operation. This must be followed by feedback and discussion of findings particularly if the evaluation is intended to be formative.

### Non-use of evaluation

If evaluation is to have any formative impact, reports should be viewed as working documents not statements of fact. The findings should be discussed and action taken.

It is all too easy to receive, read and file reports and to avoid the issue of making change happen. Mechanisms for dealing with reports should be set up during the initial planning.

### Time constraints

Staff involved in evaluation often underestimate the time commitment and may become discouraged. Provision should be made for the typing and production of reports. Although reports could be given verbally, there is some evidence to suggest that people take more seriously information that is publicly available.

## 6) **LEA CONTACTS**

Help and advice about evaluations can be obtained from the following:

The appropriate phase adviser or AEO

who can be contacted at the:

Enfield Civic Centre  
Silver Street  
Enfield  
Middlesex

Tel: 01 366 6565

The phase advisers are members of the Enfield Evaluations Steering Group.

or

The Chair  
Enfield Evaluations Steering Group  
Enfield Teachers' Centre  
Craddock Road  
Enfield  
Middlesex

Tel: 01 363 4148/9

The remit of this group is to co-ordinate, support and stimulate evaluation activity within Enfield.

## 7) RESOURCES

The following books cover various aspects of evaluation and most are available on loan from the Teachers' Centre. They have been chosen for their relevance and/or their availability. When ordering books, please quote the Teachers' Centre reference number which is in brackets at the end of the reference.

To borrow them contact:

Media Resources Assistant

01 363 4148/9 ext 1

8.45am - 2.45pm Tuesday, Wednesday and Thursday

The books will be sent to you through the schools' post. Lists of materials covering staff development, assessment and evaluation are also available.

ADELMAN, C. ed. (1984) The Politics and Ethics of Evaluation, Croom Helm (237)

DAVIS, E. (1981) Teachers as Curriculum Evaluators, Australia, George Allen and Unwin, (235)

FORD TEACHING PROJECT, (1975) Cambridge Institute of Education (Series of booklets 489-500)

FURTHER EDUCATION UNIT (1983) College-based course evaluation (67)

HOPKINS, D. (1985c) A Teacher's Guide to Classroom Research, Milton Keynes, Open University Press. (267)

MCCORMICK, R. AND JAMES, M. (1983) Curriculum Evaluation in Schools, Croom Helm (177)

NUTTALL, D. (1981) School Self-Evaluation, Schools Council (25)

OPEN UNIVERSITY, (1984) Curriculum in Action: Practical Classroom Evaluation (209)

other useful publications, not at present in the library are:

HARRIS, N., BELL, C. AND CARTER, J. (1981) Signposts for Evaluating: a resource pack, Council for Education Technology and Schools Council

WRAGG, E.C. (1987) Rediguide 11: Conducting and Analysing Interviews, Nottingham University School of Education

YOUNGMAN, M.B. (1987) Rediguide 12 : Designing and Analysing Questionnaires, Nottingham University School of Education



## 8) **APPENDIX 1: Ethical Guidelines: A Summary for Staff**

1. Be sensitive : At all stages be guided by sensitivity to the likely effects of the research. people are more vulnerable to what they take as criticism than you might realise. Be careful when discussing your work - avoid making casual remarks which may be taken as a judgement especially when the person concerned is not present.

2. Observe protocol : Permission for the study should normally be obtained from the head of an institution unless s/he has explicitly delegated responsibility for negotiating the research to someone else - in which case, that person's permission should be obtained.

3. Negotiate accounts of work and points of view : Adults and pupils (or their representatives) whose work or points of view are the subject of the research should have access to the data they provide and control over its use by the teacher-evaluator. An opportunity should be given to amend or retract statements. Allow those described to challenge your accounts on the grounds of fairness, relevance and accuracy.

4. Accept responsibility for maintaining confidentiality : Individuals' anonymity should normally be safeguarded at all stages of the research. Individuals should be mentioned by name only with their prior written agreement or, where appropriate with that of their parents.

5. Inform individuals of the final use of the data : The future use of data collected should be made clear to those involved. They should also be sent a copy of the final document of which the data forms a part.

6. Obtain explicit authorisation before using quotations, examining files, correspondence or other documentation : Take copies only if specific authority to do this is obtained.

7. Retain the right to report your work - after you have checked that those involved are satisfied with the fairness, accuracy and relevance of accounts which pertain to them.

8. Be realistic about what you can achieve : You will never paint the total picture.

9. Be clear about the purpose of the evaluation : Make sure that the findings are debated by those to whom it is relevant.

(Adapted from Kemmis and McTaggart (1981) Action Research Planner, Victoria, Australia, Deakin University Press.

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London Borough of Enfield

**Paper 3**

**LEASK, M. (1988b)**

**Performance Indicators:**

**A briefing paper for the TVEI Evaluation Sub-group**

*Unpublished paper, London Borough of Enfield*



**London Borough of Enfield**

**PERFORMANCE INDICATORS**

**A briefing paper prepared for the TVEI  
Evaluation Sub-Group**

**A Summary of Research Findings**

**October 1988**

**Marilyn Leask**

"....care must be taken to avoid putting too much weight on what {is} readily measurable ...."

DES Better Schools:  
Evaluation and Assessment Conference  
Birmingham, 14th November 1985 (p.6)

"The appetite for consumers for any scrap of comparative information about {educational institutions} however irrelevant to their precise needs and the enthusiasm of politicians for value-for-money, even when no coherent and quantifiable objectives have been identified guarantee not only the uncritical but the reckless use of any published performance indicators."

Times Higher Educational Supplement,  
14th October 1988

CONTENTS

- 1) Definitions
- 2) History
- 3) Purpose of introducing Performance Indicators for Education in the UK
- 4) Defining Performance Indicators for TVEI(E)
- 5) Scope of suggested Performance Indicators
- 6 & 7) Advantages and shortcomings
- 8) Information which could be usefully collected for evaluating TVEI (E)

Bibliography



Appendices

A) Definitions as used by the Civil Service

B) Enfield Performance Indicators: The Director of Education responds to the DES :17th March 1988

C) DES (October 1988) Performance Indicators for Secondary Schools . The DES have taken these straight from Coopers and Lybrand (1988) Local Management of Schools) with one addition and a change of title.

D) Performance Indicators already in use: examples from a nearby LEA.

E) DES (?Feb. 1988) input/process/output Model

F) Jesson, D. (?Oct.88) "Measuring School Efficiency: Data Envelopment Analysis" an extract from "School Effectiveness and Efficiency" mimeo, University of Sheffield

G) Weindling, D. (?Oct. 88) "Effective Schools" extract from "The Process of School Improvement: Some practical messages from research" mimeo, University of Sussex

## Performance Indicators:

### 1) Definitions:

1.1 A performance indicator (PI) is a statement of what is considered to be a good standard of performance or appropriate achievement in a particular field.

1.2 An institution is able to use performance indicators to check its achievements against these pre-determined 'standards'. Different PIs need to be developed in order to inform different audiences - parents, LEA, governors, teachers, funding agencies. All have differing needs for information about the education system.

1.3 Performance Indicators are useful for setting goals and clarifying objectives but they have limitations (see section 6). Some are objective and "capable of national aggregation", others are more subjective (DES, October 1988). There is a place for both quantitative and qualitative indicators.

1.4 For instance, if we decided in Enfield that a reasonable expectation (which we would base on previous achievements or National figures) would be that X% pupils would obtain 5 or more results at a particular grade or better in GCSE, then schools could measure their achievements against this performance indicator.

1.5 A more useful approach might be where the school compares its present outcomes with its own previous performance, or its expected performance. Ability of the intake could be taken into account using perhaps present LEA tests or in the future, the pupils' assessment results at 7,11,etc.). More detailed examples are set out in the DES document circulated in October 1988 "Performance Indicators for Secondary Schools" (Appendix C: pink).

## 1.6 Guidelines for establishing Performance Indicators (DES, February 1988)

"It is widely agreed that for all purposes worthwhile performance indicators

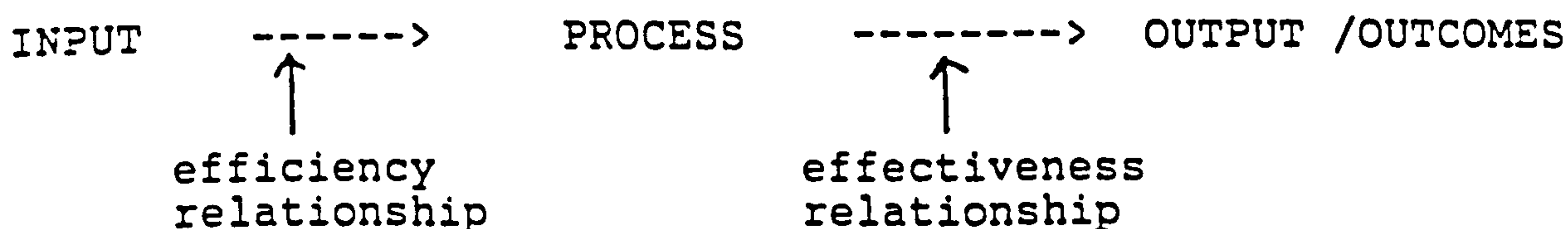
- (1) must relate to the stated objectives of the organisation;
- (2) must be as simple and as few as possible consistent with their purpose;
- (3) must be acceptable and credible to those concerned;
- (4) must be capable of acting as signposts to key areas where questions concerning operations can and should be asked.

Performance indicators intended for aggregation so that the information can be used for making valid comparisons at more than one level

- (5) must in addition be specific, quantifiable and standardised."

1.7 A model used to describe educational institutions is outlined below.

Performance Indicators can be used as appropriate for each stage:



Methods of measuring effectiveness and efficiency in schools are under review. The extracts included as appendices F (beige) and G (yellow) illustrate two approaches. See also appendix E (white); Nuttall, 1988; DES, Feb.1988.

1.8 Definitions of performance, indicators, output, efficiency, effectiveness, as used in the Civil Service are presented in Appendix A (blue). Government departments have been reporting their achievements in terms of performance indicators for a number of years.



## 2. History:

2.1 Research is being carried out internationally on establishing PIs in education. This is supported by the Organisation for Economic Co-operation and Development (OECD). Their literature suggests that the need for PIs in education has developed in response to the ill-planned cuts in education expenditure experienced in all sectors of education in a number of countries over the last decade. Educationalists require information in order to be able to justify the allocation of resources.

2.2 Performance measurement has in addition, been used in industry for some time. Where the goal is increased profit margin or number of sales, then performance can be easily measured against the previous figures: the information is quantifiable.

2.3 There is a trend in this country to require the public sector to be more accountable (Treasury Working Paper No.38). However there are problems. Where a service is provided (Education, the Health Service and in other Government Departments) there are no easy measures. Nevertheless, these sectors as well as Education are being asked to measure achievement against pre-determined targets.

2.4 The work of developing PIs in education is in its infancy. The Chartered Institute of Public Finance and Accountancy has a forthcoming publication on performance indicators in education. Their previous publications (1984/6) in this field have drawn on the expertise of a wide range of people involved in aspects of education.

2.5 The Coopers and Lybrand (1988) document Local Management of Schools provided "factors to consider in formulating performance indicators". These have been taken up wholesale by the DES in their recent discussion paper (October 1988) Appendix C (pink).

### 3. Purpose of introducing Performance Indicators for Education in the UK

3.1 Performance indicators are seen as contributing to an 'educational audit', giving 'guidance on value for money', setting norms, targets, goals, and providing information so that national and local comparisons of school or LEA performance can be made.

3.2 Their prominence in education at the present time is a result of the demands for accountability of education: particularly in relation to the National Curriculum and the Local Management of Schools.

3.3 The key concerns appear to be the desire to judge effectiveness and efficiency of institutions in the light of LMS and ERA and in proving 'value for money'. Another stated purpose is that PIs are to be used in monitoring standards of teaching and pupil performance (DES February 1988).

3.4 The following quote illustrates some of the reasons for establishing PIs:

"Effective monitoring arrangements established by the LEA will be a key condition for successful schemes of local management ...LEAs will need to have accurate and up-to-date information on the performance of schools.....LEAs will build on existing arrangements for monitoring the efficiency and effectiveness of their schools..

.....governing bodies and head teachers will need to develop their own school-based indicators with advice and support from the LEA. The quality of the information base available at school level will be crucial ...."

DES 7/88 paragraph 151/2

3.5 It is clear from the documents studied that schools, parents, governors and the LEA both need and are entitled to, information for making both local and national comparisons of school/LEA achievement in a range of areas.

3.6 A base position for comparison within and between LEAs must be established for purposes of evaluation and monitoring (DES 7/88).



#### 4. Defining Performance Indicators for TVEI(E) (see also section 7)

4.1 With LMS and ERA, LEAs have a responsibility to develop performance indicators for effective monitoring :-

These include-

- : financial PIs (section 42 ERA, DES 7/88 para 213 )
- : management function PIs (school and LEA level)
- : curriculum PIs (section 22 ERA, DES, 7/88)

4.2 Work done in Enfield in February in response to a DES request for information is outlined in Appendix B (lemon). Appendix C (pink) outlines DES views (Oct. 1988) on factors to be considered in establishing performance indicators. (These are as suggested by Coopers and Lybrand (1988) with one addition and a change of title.)

4.3 The information that we are required to collect for monitoring the National Curriculum and LMS (DES Circ. 7/88) will need to be computerised and located centrally. The setting up of these new systems provides the opportunity for the LEA to include the capacity for extracting data relevant to a number of existing LEA evaluative activities - eg IDPs, GRIST, TVEI, ESG activities.

4.4 We must be careful neither to accept performance indicators purporting to measure what is really unmeasurable nor to allow performance indicators to be seen as providing the sole information about what is happening in education - if other methods of measurement can provide the missing information and different perspectives (eg particular evaluative approaches, school visit records etc) then we must develop and incorporate them into the overall LEA Evaluation Strategy and into reporting procedures (eg to the DES).



Points for the TVEI(E) Evaluation Sub group to consider:

4.5 Is the development of PIs in TVEI (E) appropriate? Should PI development in TVEI(E) be separated from the development of PIs for institutions as a whole which would take into account their IDP and the demands of LMS and ERA.

4.6 If we feel it is appropriate to develop PIs within TVEI(E), is it because we think PIs will be of particular use or because we are anticipating the direction in which central demands for accountability are heading? Can we combine the two needs?

4.7 Clearly if we are to collect data for TVEI(E) we need to have access to the larger LEA wide computer system which will be developed. This, of course, may take some time to be established. However, our information needs should be discussed with those responsible for this development as soon as possible.

## 5. Scope

Performance indicators can be used to provide a range of information appropriate to a wide range of audiences. They can be formulated at all stages in the educational process as outlined in section 1 : inputs, process, outputs, outcomes and in measuring efficiency and effectiveness.

5.1 Appendix C (pink) outlines factors which the DES (7/88) suggests should be considered in establishing PIs. The amount of information which could potentially be collected is enormous. Presumably, as an LEA we would need to focus on those areas we felt were most relevant. Appendix D (green) illustrates the range of information already collected by Cambridgeshire LEA.

5.2 The DES intention (February 1988) is that the 'personal, social and cultural development of pupils' should be included together with more easily measured information (exam results, FE entry etc) in an assessment of the quality of education provided. However the difficulties in accurately assessing such outcomes is acknowledged. Appropriate measures need to be devised: attendance, punctuality and behaviour have been put forward as being affected by the quality of education provided and thus to be considered in formulating PIs for this area.

5.3 Socio-economic factors must also be taken into account in considering school performance. ie the characteristics of the school population. No clear guidance is given in the literature in this area: suggestions include proportion of pupils in receipt of free school meals, a general description of relevant background factors which the LEA will provide (DES, February 1988, 7/88) and advisory staff notes and assessments see section 6.8)

5.4 The Director of Education in a letter to the DES (17th March 1988) suggested it may be useful to "list separately the information/indicators which are needed by:-

- a) parents in order to choose a school;
- b) parents in order to participate in and understand their child's development;
- c) staff in order to improve;
- d) the head, staff and governors in order to manage;
- e) the LEA to manage, allocate resources and arrange training; and
- f) the Government in order to formulate overall policy."



The following two lists are not comprehensive - they simply outline issues raised in the papers listed in the bibliography. Many more advantages of PIs can be drawn from section 3 (Purposes).

## 6. Advantages

- 6.1 PIs provide tools for managerial analysis for internal use.
- 6.2 PIs can be useful in clarifying the objectives of an institution.
- 6.3 Use of PIs can result in a picture of school performance built up year by year which will aid school improvement.

## 7. Shortcomings and Problems

- 7.1 There is lack of clarity at the moment about who/what is being measured and for whom.
- 7.2 Efficiency and effectiveness do not necessarily go together: indicators for both are required (see appendix F (beige) and G (yellow)).
- 7.3 There is no simple link between inputs and outputs in education
- 7.4 At the moment, there is probably no 'bottom line' for use in comparing an institution's effectiveness and efficiency. Thus the process of building accurate performance indicators will take considerable time, effort and resources.
- 7.5 The socio-economic context within which an institution operates is difficult to define. If this is made explicit - as is suggested so that assessment results etc can be put in context-it "is unlikely to be acceptable or constructive of good relations"(DES, October 1988). A suggested alternative is to use data on pupil ability at intake as a baseline.

7.6 There are serious problems of interpretation. The quote from the THES on the front cover outlines the concern about potential 'uncritical [and] reckless use of published performance indicators'.

7.7 Concern about methods of measuring outputs in education are expressed in all papers about performance indicators in education. I also came across a similar concern relating to the work of the Department of Employment in which the difficulty of quantifying much of their work (to provide efficiency indicators) was outlined.

"...one cannot gauge the quality depending on whether Ministers are pleased with the advice given."  
(Treasury Working Paper No.38, 1986, p.3)

7.8 Thus we are not alone in Education in expressing concern about the danger of ignoring our non-quantifiable achievements. The THES quote on the front cover expresses the vice-chancellors' concern for PIs measuring University performance. Jamieson (1987) suggests that it is this difficulty in measuring quality which led to the tradition of an inspectorate in education rather than sole reliance on statistics.

#### 8. Information which could be usefully collected for TVEI(E) Evaluation

8.1 If we had access to a database, there are a number of areas in which data collected over the years could provide useful indications of improvement in curriculum entitlement for pupils. A point to be borne in mind is - who is the information for? What purpose would be usefully served by collecting and collating this data?

8.2 Performance indicators could be established at LEA level for the managerial team and at school level for the schools and feature co-ordinators to measure their progress against.

8.3 As well as data relating to individual features, information could be collected regarding the school curriculum, staffing (qualifications, experience, INSET), individual pupil data, exam entries and results, financial information. Baselines for each institution could be established against which change over a period of time could be measured.



8.4 The following list is meant as a starting point in establishing areas in TVEI for which Performance Indicators might be devised. It is not intended to be exhaustive.

Careers/School Industry Links/Work experience

- pupil expectations/aims
- quality of pupil experience
- counselling provided/other inputs
- pupil destinations
- % pupils undertaking work experience
- analysis of types of placements (in relation to pupil expectation of destinations)

Teaching and Learning Styles

- use of appropriate teaching style
- actual class sizes
- pupil/teacher ratio

Equal Opportunities

Analysis of:

- results and destinations
  - balance in various subjects
  - staying on rates
  - special needs provision (teacher/pupil ratios )
  - pupils' experiences
  - pupils attitudes to gender and race issues
- in terms of gender and ethnic origin

IT/Technology/Science

- resources provided
- curriculum offered to different year groups
- pupil destinations
- relevance of the curriculum

Profiling

- quality and usefulness of profile
- resources provided
- % pupils with completed profiles

PSHE

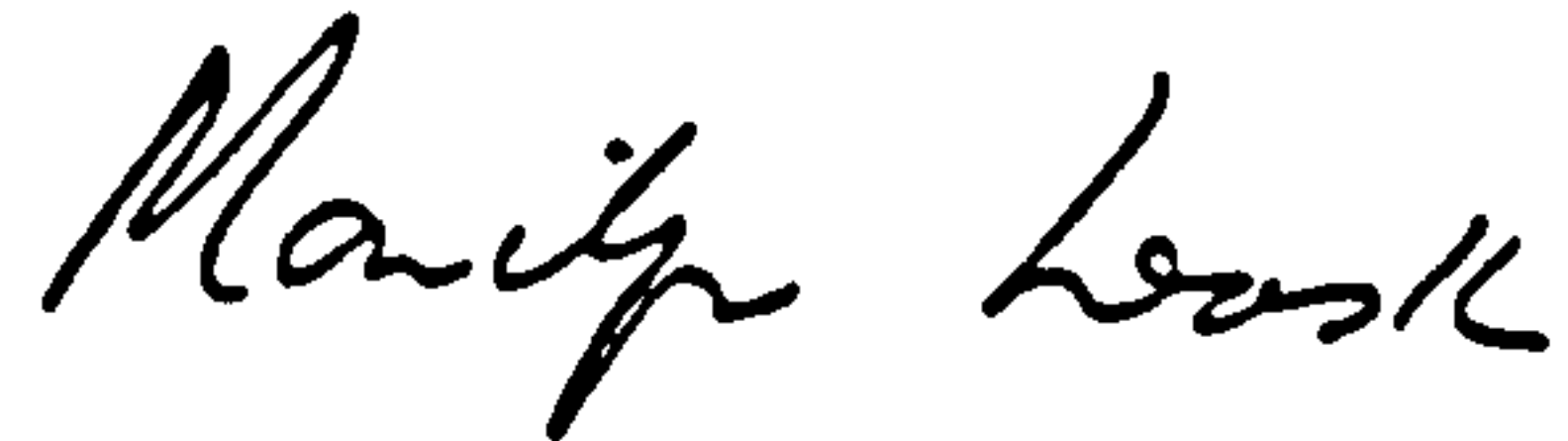
- attitudes to particular issues
- respect between pupils
- self confidence
- teaching styles

Economic Awareness

- curriculum organisation
- pupil awareness of choices in resource allocation and use at national, local and individual levels



If we are to respond to these demands for establishing and using performance indicators, then the issues should be raised among LEA staff at all levels. We need to develop a shared understanding of the terms used and of the purpose and uses of performance indicators. In particular work is needed in developing and using appropriate qualitative indicators.



Marilyn Leask  
Advisory Teacher for Evaluation

November 1988

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OUTPUT AND PERFORMANCE MEASUREMENT IN CENTRAL GOVERNMENT.  
TREASURY WORKING PAPER NO 38 FEB '86.

GLOSSARY OF TERMS

The following explains terms used in the text and case studies, and their definition for the purposes of this paper.

EFFECTIVENESS

The extent to which objectives have been met, calculated as the ratio of output to planned output. The Treasury and Civil Service Committee adopted a slightly wider definition of the effectiveness of a programme:

"the definition of objectives, the measurement of progress towards achieving those objectives and the consideration of alternative means of achieving objectives [1]".

The term can also be applied to administrative work, in which case the objective is usually a target output, such as number of cases to be handled in a particular time period. An organisation or programme can be highly effective without being efficient: the term does not take account of the resources consumed to achieve the objectives.

EFFICIENCY

The ratio of the output of an activity to the resources used to produce that output. The Treasury and Civil Service Committee defined programme efficiency as:

"given the objectives and the means chosen to pursue the objectives, the minimising of inputs to the programme in relation to the outputs from it." [1]

An efficient organisation is not necessarily effective. For example, a department may be paying promptly the correct amounts of grants to all the right people but without having the intended effect on their behaviour.



**INDICATOR**  
(of output or  
performance)

A proxy measure used when output or performance is not directly measurable. For example, the number of complaints received is an indicator of quality of service, but does not represent the whole picture. Examples of indicators of programme effectiveness are: notification and admission rates for infectious diseases in children (immunisation programme), numbers off registered unemployment count (employment schemes), savings identified (energy efficiency survey scheme), VAT under-declarations discovered.

**INPUT**

Resources consumed for a particular activity. May be people, cash, machinery, office space. Often reducible to money terms. Can also be the output of some lower level activity. For example hospital places are an output arising from the deployment of resources and management effort, but they are also one of the inputs to a programme for providing health care.

**OUTPUT**

The things or conditions produced by an organisation. An output A can be said to be more final than output B, if B contributes to A. B is then said to be an intermediate output. For example, the final output of revenue collection is the net improvement in welfare resulting from the provision of public goods and services bought with the money collected. The total amount of revenue collected is an indicator of this final output. The additional tax gathered as a result of inspector's work contributes to this, and so is an intermediate output. For each level of output there is a corresponding objective. These are also referred to as final and intermediate objectives (or sometimes sub-objectives).

**PERFORMANCE**

Comparative evaluation of outputs or inputs. Economy, effectiveness, efficiency, productivity, quality of service and unit costs are all aspects of performance. Performance measures are most useful when used for comparisons: over time or between units performing similar work, say.

**TARGET**

A specific quantified objective. Usually also has a timescale associated with it.

LB ENFIELD - SCHOOL INDICATORS

In this note I have attempted to list some of the indicators which we use as officers and advisers in judging the progress and performance of schools. In compiling this list I do not intend to give the impression that we collect information on a regular or consistent basis about the factors that are mentioned. The most that can be said is that this is a list of those items which come to mind when we are asked to judge the health of a school within the system. The list was compiled before I had read the head teachers responses but there is naturally, a great deal of overlap.

1. STAFF

- satisfaction, happiness, morale
- absence rate
- turnover (positive and negative reasons)
- participation and involvement in school policies
- age/sex profile
- the number and quality of applicants for posts, both teaching and non teaching
- mid-day supervisors: the number of applicants, turnover, vacancies

2. PUPILS/STUDENTS

- absence and lateness
- observed behaviour
- number and type of punishments
- number and frequency of suspensions
- appearance
- literacy and numeracy and other measures of academic performance
- satisfaction
- destination (for secondary schools)

3. SCHOOL POLICIES

- quality of the Institutional Development Plan (training related to curriculum)
- an accepted process for improvement: plans, targets, monitoring and review. In future this will be built into a 3-year planning process.

- the method of curriculum review
- a consistent policy relating to the behaviour in pupils
- an understanding of the management of change
- internal and external communications
- the extent of co-operation with other schools/colleges
- the involvement and participation of parents and members of the community
- the extent of out of school activities
- the arrangements for children with special educational needs
- for the future, the effective use of a Management Information System

4. BUILDINGS

- the effective use of display
- the extent of graffiti
- the cost of repairing and replacing furniture and equipment
- the overall condition of the building
- state of cleaning
- general atmosphere - does the building feel welcoming?

5. PARENTS AND THE COMMUNITY

- the arrangements for parents to deliver and collect their children from primary school (school gates, playground or inside the building)
- the volume of complaints and the way they are handled
- relationships with neighbours
- the state of the PTA
- secondary schools - relationships with employers
- parental choice and the number of appeals



6. EXAMINATION RESULTS AND TESTS

- examination results at CSE/'O' Level and 'A' Level are used each year and will continue to be used with the introduction of GCSE. We do take account of the nature of the intake in making an assessment so that we can give a fairer picture to the Chairman of the Education Committee or other members if concern is expressed about a particular school or schools. Examination results however, are of particular value in monitoring the performance of departments in schools to see where performance - for good or ill - departs from the norm.
- we have used standardised tests at 7, 9, 11 and 13 but have now decided to simplify the process by dispensing with non-verbal reasoning tests and mathematics tests because they add little to the information we gain from testing reading. So in the interim until the assessment procedures related to the National Curriculum are introduced we shall assess progress in reading at seven and continue to use standardised group tests for reading in the second and fourth years of the junior school. The results of these tests do prompt questions that need to be asked, but their main purpose is in helping officers and advisers to allocate resources to schools and to be more sensitive to the nature of the task facing individual schools.

DIRECTOR OF EDUCATION

March 88  
LJS279

# APPENDIX C

FACTORS RELEVANT TO PERFORMANCE INDICATORS FROM DES DISCUSSION PAPER (OCTOBER 1988) "Performance Indicators for Secondary Schools" AND COOPERS AND LYBRAND (1988) "Local Management of Schools".

APPENDIX B			
LIST OF FACTORS RELEVANT TO PERFORMANCE INDICATORS			
<i>Input Considerations:</i>			
(a) Pupil intake	Socio-economic background Cultural background Innate ability Handicaps Levels of expectation by pupils and parents Academic attainment on entry to each phase	(c) Curriculum arrangements	Core subject provision Non-core subject options Particularised provision Examination options Curriculum co-ordination Curriculum documentation
(b) Resources	Number of teachers, by grade Number of support staff by type Parental support (financial and otherwise) Book and library provision Technical facilities Recurrent expenditure by type	(d) Wider educational practices	Provision of pastoral system Structured sporting activities Activities for the local community Links with industry and commerce Extra-curricula cultural activities
(c) Background	Accommodation levels and standards Historical background Stability of organisation	(e) Organisation	Management delegation commitment Pupil grouping provision Homework policy and its applications Involvement of governors
* School Environment (Neighbourhood)		(f) Mutuality	Level of expectation of teachers Level of responsibility given to pupils Rewards/sanctions punishment systems
<i>Process Indicators:</i>		<i>Outcome Indicators:</i>	
(a) Staff	Teachers' characteristics, including qualifications Staff demeanour Staff sick leave Teacher turnover	(a) Intermediate	Pupils' demeanour Attendances, absenteeism, truancy Lateness Performance in internal activities
(b) Teacher deployment	Contact ratios Class sizes Mismatch (subject, experience, training)		Participation in external activities Indictable offences recorded

**(b) Final for  
secondary  
schools**

Performance in external  
examinations by age 16

Other intellectual  
attainments

Entry rates into continued  
and further education at  
age 16

Performance in external  
examinations from post-  
compulsory education

Participation in sporting,  
social, cultural activities  
post 16

Uptake of initial  
employment (relative to  
location)

Employment status at ages  
21 and 25

The views of potential  
employers

**(c) Final for  
primary  
schools**

Academic attainments at  
age 11

Participation in sporting,  
social, cultural activities  
post 11



PERFORMANCE INDICATORS AS USED BY ONE LEA

PERFORMANCE INDICATORS

OUTCOMES are disaggregated under the following headings.

A) Academic/Skills Expectations:

i) Exam Results:

Proportion of age group gaining -

- 3 or more higher grades at O/CSE/16+
- 4 or more higher grades at O/CSE/16+
- 1 or more higher grades at O/CSE/16+
- not entered for either O/CSE/16+
- O/CSE/16+ higher grade in English
- O/CSE/16+ higher grade in Maths
- passes - non O/CSE exams
- 3 or more CSEs grade 4 and above
- no graded result

NB Must be modified with time to take account of GCSEs.

ii) Proportion of 2-year students achieving:

- 3 or more GCE 'A's
- 2 or more GCE 'A's
- 1 or more GCE 'A's

iii) Proportion of 1-year student numbers achieving:

- GCE OA
- 'O' level pass on request or new subject
- CPVE
- RSA
- other

iv) Records of Achievement

- number of students leaving with a completed record.

v) Learning difficulties

- number/proportion of pupils with special difficulties
- students not achieving defined standards of literacy and numeracy at age 11

B) Economic Expectations

Exit routes - these should not be regarded as being in rank order. The directive is for each individual to follow the route appropriate to her/his needs and skills. We will be exploring measures to achieve this matching through improved Careers Education and Guidance.

- post-compulsory age schooling
- full-time further education
- employment
- YTS
- unemployed
- unknown

OUTPUTS

A Core:

- Average number of defined core subjects offered at individual schools
- Extracts from academic plans

B Options:

- Average number and type of defined optional subject groups offered in individual schools

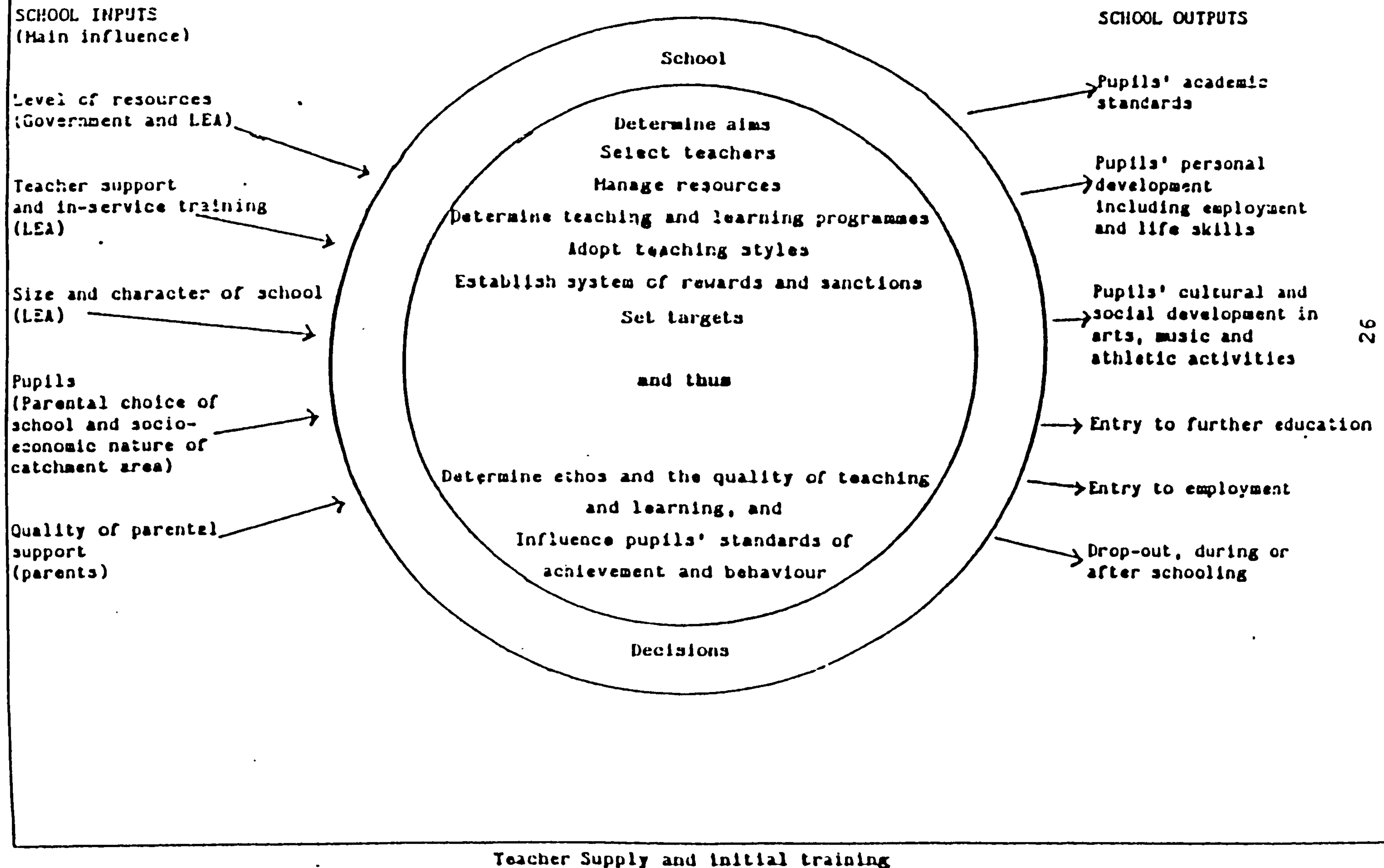
C Teacher Lecturer Quality/Support:

- Qualifications
- Secondments
- Training
- Support
- Turnover

D Balance of sexes on courses:

Although the work is at an early stage of development, the potential of such a strong information base is already evident.

## National Curriculum and Attainment Targets



EXTRACT FROM JESSON, D. (OCTOBER 88)

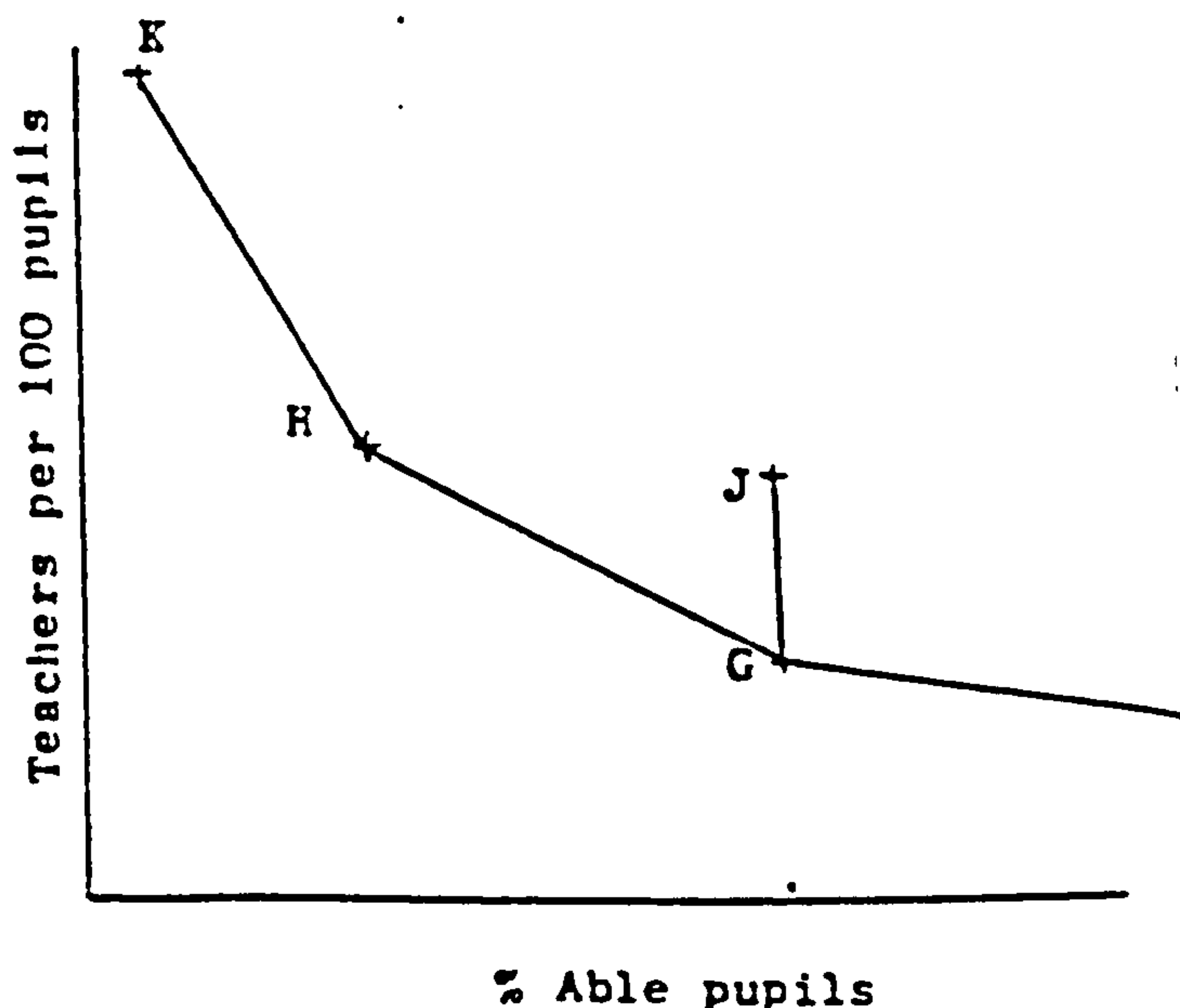
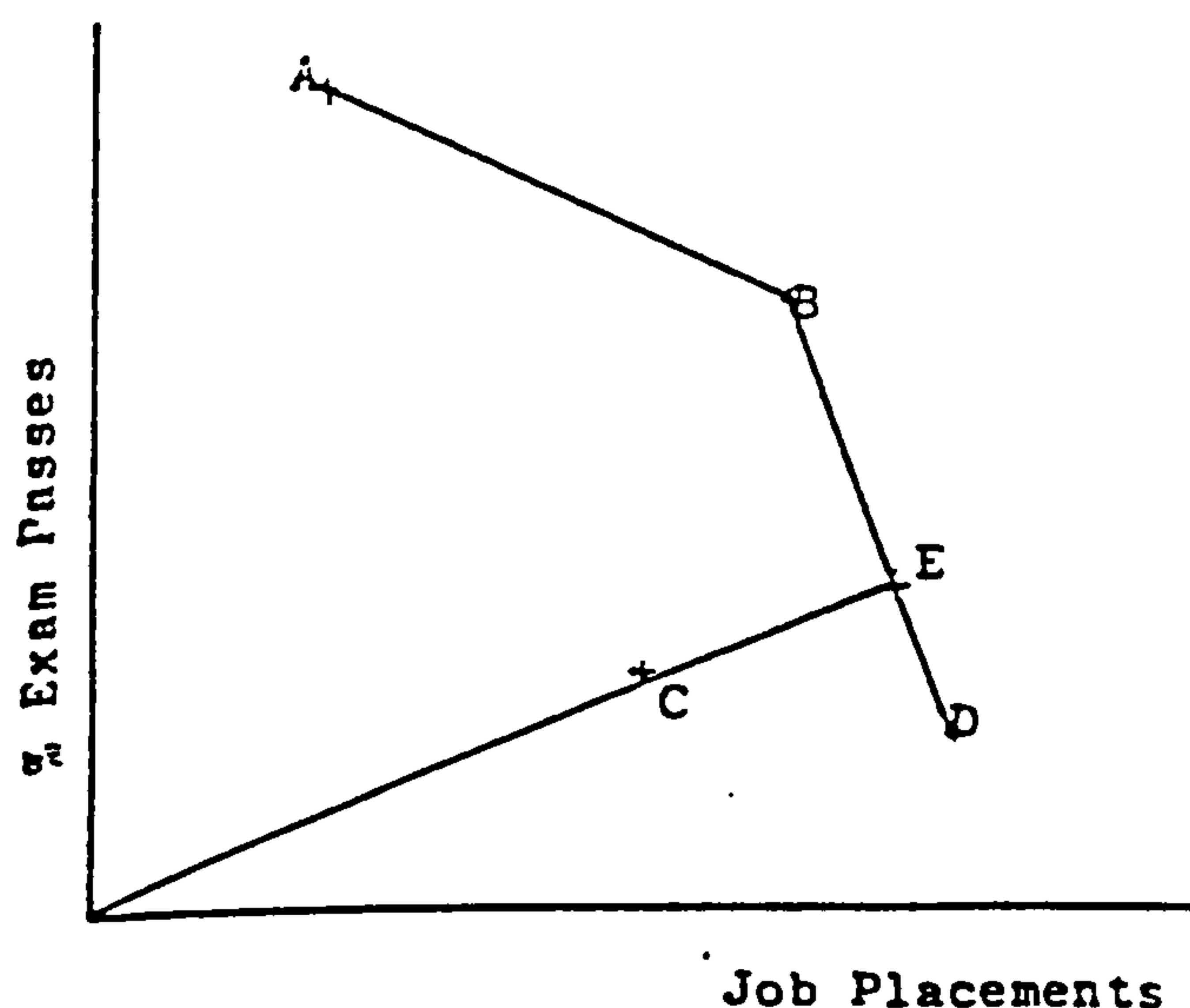
## Data Envelopment Analysis (DEA) as an aid to Performance Assessment

DEA is a technique to help compare the performance of a group of similar 'units' (typically schools in this context). As developed by recent work it allows that comparison to extend over many outputs taken simultaneously as well as over multiple inputs. DEA is basically a tool of economic analysis and incorporates an explicit measure of efficiency.

$$\text{Efficiency} = \frac{\text{Output}}{\text{Input}}$$

Some performance measures attempt to cope with the problem of having many outputs by assigning weights (representing perhaps some monetary measure of value). But inevitably these weights are arbitrary. The key feature of DEA is that it does not prejudge the appropriate weights (either to output or input).

The concept can be illustrated by a simple model with just two inputs and two outputs....further details can be found in 'Performance Assessment in Education: Economic and Educational Perspectives'...Oxford Review of Education Volume 13,3 by David Jesson, David Mayston and Peter Smith. (Universities of Sheffield and York)





In the first diagram all five schools have the same inputs but they have differing outputs. A obtains better exam results but worse job placing than B, D or E. However A can argue that producing well qualified pupils is the most important aspect of its role and weight it more heavily than job placement. B, D and E make different decisions about the relative importance of each and each may be reasonable decisions. C however is in a different position.....it is actually producing less of both outputs than E even though it has the same inputs.

Thus C is relatively less efficient than E even though it could claim to be doing better than D if exam results were weighted heavily enough. In the diagram we have no reason to declare A, B, D and E inefficient so they will be rated 'efficient'. C, however, is relatively inefficient.

The second diagram compares the performance of 5 schools which have the same outputs but different inputs. K has a higher pupil teacher ratio than H, G or F but it has less able pupils than them. H, G and F represent different mixes each of which may be 'reasonable'. J is however in a different situation..... it has as highly able pupils as school G but uses a greater number of teachers in producing the same output.....

Thus J appears to be relatively less efficient than G, and indeed than any of the other schools on the boundary.

This example was based on only two inputs and outputs in order to explain the idea graphically. The idea can be generalised to many dimensions and in principle can deal with any number of inputs and outputs.

Clearly there needs to be some consensus as to the range of relevant inputs and outputs...but, once agreed, a school can claim to be efficient relative to others if it is not 'dominated' by another. That is, there is no other school that produces more of at least one output (without producing less of any other) and using no more of any input. Conversely for inputs.

The technique is equivalent to asking whether there is any set of weights on which this school would not be dominated by another. That is DEA shows each school in the best possible light.

With agreement on the relative inputs and outputs the notion of relative efficiency should be uncontroversial. But it may however seem weak. The fact that it does not automatically produce a league table is in fact a strength. The technique is very positive in that all schools can learn from the analysis, all schools can improve and in the end it may be possible for all schools to be classed as 'relatively efficient'.

Information available from DEA  
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The technique produces a relevant set of schools for fair comparison. A school that is not relatively efficient can gain from examining the organisation and teaching skills of the members of the 'peer group' produced by the analysis. It is important, however, to note that the information from DEA is only the beginning of the analysis. It is an effective way of making comparisons between schools which become obvious when stated in words, but are not always apparent from the mass of uncoordinated data.

The technique is an effective sieve of the data..... it draws attention to anomalies in performance but it does not attempt to explain them. It is, therefore, a device for asking relevant questions.

Illustrative example for a school  
-----

School No.1                      Efficiency 0.87

Input measures	Ability	Social adv	Teach/costs	NTeach/cst
	18.8%	43.5%	730	140
Output measures	Lower hurdle		Middle hurdle	High hurdl
	76%		57%	17%

These were the measures supplied on entry to the process. DEA responds:

Efficient peer group:	Schools 17 (29%)	28 (53%)	31 (18%)
Input weights:	Ability 0.75	Output weights	Lower 0.10
	Social 0.05		Middle 0.90
	Teach 0.00		Upper 0.00
	Nteach 0.20		
Target values	(based on output maximisation)		Lower 87.4%
	cf comparison grp		Middle 65.5%
	Schools 17 29 31		Upper 20.5%



Schools which are relatively efficient can also learn much from the analysis. It can tell them how sensitive their position of relative efficiency would be to changes in the weights. It can also give an idea of where the school may perform less well than others and in which of these it may be easiest to make progress. This can help to establish priorities.

For schools which are not efficient relative to others the extent to which particular outputs would need to rise (or to which inputs might be allowed to fall....although we have not pursued this line in our analysis) can be calculated.

The technique is not revolutionary.....it simply tries to allow for reasonable differences of emphasis and experience between schools. It also allows for differences in the given factors which schools inherit, such as the social environment in which each is placed. The purpose of its use is raise issues which appear important from the mass of data generated which might be useful for the process of Performance Assessment. This is used as a starting point for the next stage in the accountability exercise ....to generate discussion between heads, inspectors, governors and advisors about the school's performance and effectiveness.

#### Pros and Cons

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- + DEA allows any number of inputs and outputs to be used. It does not require data all of the same type, and can handle obviously quantitative data alongside others which is at least in an ordinal or categorical scale.
- + It does not assign arbitrary weights to what schools are doing and so can accommodate professional differences of opinion over the importance of different outputs.
- + 'Efficiency' is practically attainable. Schools can be given a peer group to draw on to help improve their performance. There is no notion of absolute efficiency, so every encouragement for all schools to continue to enhance their performance.
- + The technique can specify what change in inputs or outputs would be needed to reach relative efficiency. This can help with targets.
- + Background and contextual factors can be allowed for.
- One outlier might distort the picture because the analysis is based on extreme rather than on mean values. The model is thus sensitive to coding or measurement errors. This is however mitigated by the facts that weights are variable so that schools are shown in 'best light'



and also that with careful use a significant outlier should be spotted. It can be dropped to see how sensitive results are to this change.

- The model is sensitive to model misspecification and variable selection. This fuels the search for agreement on appropriate indicators of input and output. The user must test the robustness of results through sensitivity tests.
- The weights used for each school may vary greatly. Differences in weights can be useful....they show how different opinions would need to be, say, about the importance of particular inputs, for certain schools to be relatively efficient. Weights could conceivably be constrained to lie within certain limits but this has not yet been explored in the education context.

## Conclusions

-----

The technique is only as good as the data on which it is based. If sensitively used DEA could help encourage professional dialogue in an atmosphere where participants recognise that each unit can improve.

It has the potential to become the focus for a rational debate about the appropriate measurement of input and output and then on the relative success of schools within an LEA for example. If it leads to the narrowing of areas of disagreement and enables interested parties to understand where these disagreements occur it will have contributed much to the process of effective Performance Assessment.

There will always be room for debate. The challenge is to make that debate more fully informed.

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The Contexts Project Team at the University of Sheffield are always ready to discuss issues related to LEA's programmes of Performance Assessment

c/o Division of Education  
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## Effective Schools

In recent years a large body of research has developed on 'effective schools' and this forms the second strand to school improvement. While most of the work is American, Michael Rutter's '15,000 Hours' (1979) and the ILEA Junior school project (Mortimore et al. 1988) reflect this approach in the UK.

Excellent reviews of the literature are provided by Purkey and Smith (1983) and Rutter (1983).

Schools in which students achieve good academic results, after controlling for home background factors and ability measures are termed 'effective'. While a number of methodological problems exist, including the narrow definition of outcome measures largely in terms of academic achievement, the different studies have produced fairly consistent findings and have identified a set of factors which seem to be related to pupil performance.

'Effective' or high attaining schools tend to be characterized by some or all of the following:

- Academic Emphasis

High academic expectations by teachers, a belief that all students can learn and a belief that teachers can teach. In the US literature this is termed 'efficacy'.

Regular setting and marking of homework.

Visible rewards for academic excellence and growth.

- Classroom Management

High proportion of lesson time spent on the subject matter of the lesson (as distinct from setting up equipment, dealing with disciplinary matters etc)

High proportion of teacher time spent interacting with the class as a whole as opposed to individuals.

Lessons beginning and ending on time

Clear and unambiguous feedback to students on their performance and what is expected of them.

Ample praise for good performance.

Minimum disciplinary interventions.

- Discipline and Pupil Conditions

Keeping good order and maintaining appropriate rule enforcement in the school ie. promoting an orderly and safe climate.

Buildings kept in good order, repair and decoration.

- School Management

Positive leadership by the head is necessary to initiate and maintain the improvement process. US studies use the term 'instructional leadership', which is the attention the head pays to classroom instruction and learning and the amount of classroom observation by the head.



- **Clear Goals and Monitoring**

It is important that all staff know what the goals are and that they focus on the tasks that are deemed important.

Continual monitoring of students' progress is necessary to determine whether goals are being realised.

- **Staff Development**

To influence the whole school, staff development has to be school wide, rather than specific to individual teachers, and closely related to the curriculum.

- **LEA/District Support**

Fundamental changes require support from the LEA and few of the variables listed are likely to be realised without this support.

- **Parental Involvement and Support**

Evidence is mixed here - Purkey and Smith suggest that parental involvement is likely to influence student achievement positively, but is not in itself sufficient to produce a major influence on performance.

While all the above appear to be related to school effectiveness, the following factors have been found not to be associated with pupils' academic performance:

- **Resources**

Fairly consistent findings that factors such as the pupil-teacher ratio and overall expenditure on resources and salaries have little effect on school effectiveness.

- **School Size**

The evidence is not clear some studies have found no size effect, but others, including the ILEA Junior project, have shown some effect with smaller schools being more effective.

- **Class Size**

Some studies suggest children in large classes make better than average progress, others that very small classes are better. It seems probably that there is little difference within the range of 25 to 40 pupils.

- **Organizational Structure**

Factors such as mixed-ability teaching, house/year systems and single sex versus mixed schools (after controlling for different intakes) do not seem to be related to school effectiveness. But the recent ILEA study suggests that combined Infant and Junior schools were more 'effective' than Junior only schools.

Several writers eg. Clark et al (1984) and Wayson (1988) have now begun to draw the threads of school effectiveness and the management of change together - using the effectiveness factors, how do we move a school in this direction?



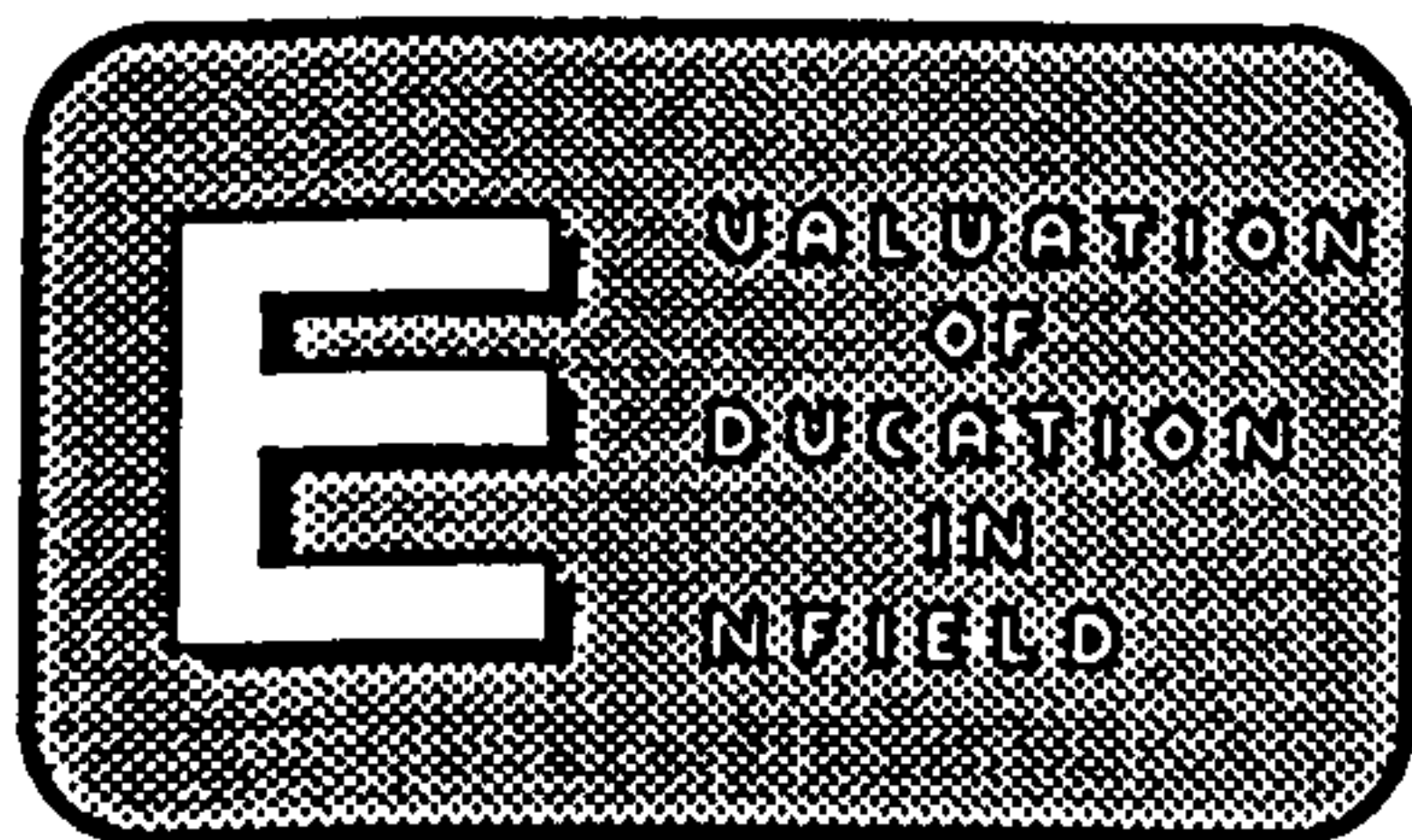
**Paper 4**

**LEASK, M. (1989a, February)**

**TVEI Elements of Institutional Development Plans:**

**Ideas for Planning Evaluation**

*Unpublished paper, London Borough of Enfield*

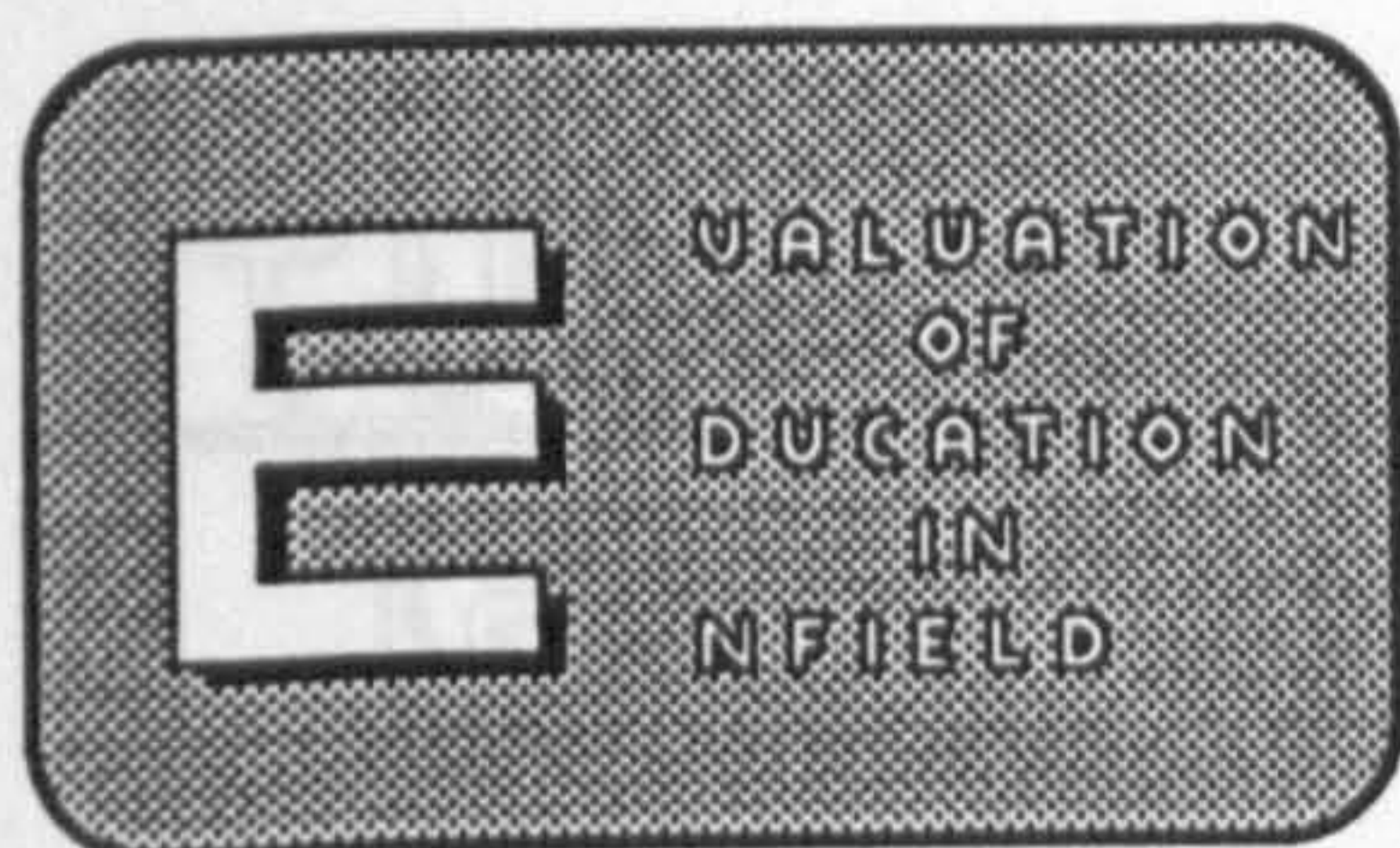


# T.V.E.I. ELEMENTS OF SCHOOL I.O.P.'S

## IDEAS FOR PLANNING EVALUATION

Marilyn Leask  
February 1989





# T.V.E.I. ELEMENTS OF SCHOOL I.O.P.'S

## IDEAS FOR PLANNING EVALUATION

Marilyn Leask  
February 1989



# TVEI Elements of School IOP's:

## Ideas For Planning Evaluation

This document has been prepared in response to enquiries from teachers. It is not meant to be prescriptive, but it is hoped that it will be useful in providing a starting point for colleagues.

The document provides an introduction to evaluation strategies and methods. A series of questions have been included in Appendix 1 as an aid to checking the effectiveness of your monitoring, review and in-depth evaluation procedures. Appendix 2 contains examples of evaluation strategies derived from the key tasks identified in the annual plan which you might find useful in planning your own work.

### Purposes and Strategies

A main purpose of evaluation is to find out how far the curriculum we've planned actually matches the curriculum delivered and the curriculum received by the pupils.

There are three key strategies for finding out what is happening:

Monitoring or 'keeping an eye on things'

Reviewing or 'looking back at what has happened'

In - depth evaluation

Figure 1 on the next page extends these definitions

# What Is Meant By Evaluation

## Informal

Monitoring or 'keeping an eye on things' is the informal method of evaluation which teachers use all the time.

Through monitoring progress, teachers have ready general knowledge of each student's progress and of the suitability of programmes of work.

## Semi-Formal

Review or 'looking back at what has happened' is an ongoing retrospective exercise in evaluation.

Reviews of programmes of work and student progress usually take place through discussion in departmental or staff meetings. Review criteria should be clear and discussions focussed on these criteria.

## Formal

In-depth evaluation involves planning the collection of evidence of what is happening from a number of sources.

It is carefully organised, often by a group of teachers working together, and the findings are debated by those involved and used to modify programmes of work or approaches to teaching.

It is most useful when planned to give feedback during a programme of work or course (formative evaluation) rather than just reporting at the end (summative evaluation).

Figure 1.

What do you need to know;

- what method will give the maximum useful information with the minimum expenditure of time and effort?
- what resources are available?
- when is the most appropriate time to evaluate (or to collect evidence)?

You may find it useful to consider the methods listed on the following page before you decide on the most appropriate approach.

For staff requiring further information, an ongoing programme of INSET in Evaluation and Assessment methods is planned to start in the Summer Term - The details are printed in What's On.



# WAYS OF FINDING OUT WHAT IS HAPPENING

The following are sources of information which might be useful when evaluating your work:

## STUDENT WORK

- profiles
- diaries
- files

## DISCUSSION

- with students
- with staff
- with employers, governors, parents

## IN-DEPTH INTERVIEWS

- with students
- with staff
- with employers, governors, parents

## OBSERVATION

- of students at work
- of staff by establishing supportive pairing arrangements with colleagues
- by student shadowing

## REPORTS FROM USERS

## EVALUATION FORMS

## QUESTIONNAIRES

## PHOTOGRAPHS / VIDEOS OF ACTIVITIES

## TIME AUDIT

- of student experience of the school day

## PRE AND POST TESTING

## DOCUMENTS such as

- school brochures
- Institutional Development Plans
- Departmental Plans
- Syllabi
- HMI reports
- Policy statements

## MATERIAL USED FOR TEACHING

- text books

## APPENDIX 1

### PLANNING EVALUATION: Some questions to ask about procedures

**MONITORING** 1) Do you have clear targets for pupil learning?

2) Are your methods of recording achievement, progress and experience capable of being used to show development from year to year?

3) Is your system of profiling understood by students and felt to be working well?

4) Regarding cross-curricular features, to what extent have departments identified the feature as part of their work? Do you have procedures for cross-checking what is happening and getting feedback?

### **REVIEW**

1) Are your targets / goals for an area of work understood and accepted by the staff involved?

2) Is the process of reflecting on progress and modifying approaches / work a regular part of your planning process as a school / department?

3) Do you draw on a range of sources for evidence of what is happening? What criteria do you use for deciding on sources?

4) Have your plans for development as set out in your IDP emerged from sound review procedures and are they based on pupil need?

5) Are your criteria clear when you review your work as a staff - are your discussions structured so that a thorough review takes place?

### **IN-DEPTH**

### **EVALUATION**

1) What aspect of your work are you planning to evaluate?

2) What specific questions do you need to ask?

3) Who has (or where is) the information you need?

4) What methods will you use to collect the information?

5) What is your position on the ethical questions posed by evaluation - confidentiality to those involved; checking data with those who give it, etc?

6) Who will analyse the data and what form will the report take?

7) How will you convey your findings to your colleagues?

## APPENDIX 2

Examples of what might go in the evaluation column of the Annual Plan. Where a school has identified success criteria, the evaluation should be directly related to them.

KEY TASK	EVALUATION
To raise staff awareness of alternative teaching and learning styles.	<p>Purpose: To support professional development of T&amp;L styles through self evaluation.</p> <p>Method: Paired observation scheme</p> <p>Timing: One observation per term together with termly review of staff experiences.</p> <p>Purpose: Establish pupil experience of teaching styles.</p> <p>Method: Shadowing pupil for a day.</p> <p>Timing: One day in Autumn term to feedback to staff early in the year.</p>
To ensure the provision of a quality work experience scheme for all fourth year pupils.	<p>Purpose: To establish impact of scheme on pupils</p> <p>Method: In-depth evaluation: questionnaire and/ or discussion and / or interview with staff / pupils / employers.</p> <p>Timing: Discussion before and after pupils go out. Employers questionnaire after. Staff interview during and after.</p>
To encourage pupils, particularly girls and those from ethnic minorities to choose subject patterns which keep options open for higher education.	<p>Purpose: To establish if more young people are taking up opportunities</p> <p>Method: Discussion with pupils about implications of subject choice Monitoring option choices and take up of opportunities.</p> <p>Timing: Discussion with 3rd years in Summer Term Analysis of destinations and options Summer/Autumn term every year.</p>
To develop an integrated approach to economic awareness accross the curriculum.	<p>Purpose: To establish the reality of the integrated approach.</p> <p>Method: Staff review of practice and analysis of schemes of work.</p> <p>Timing: mid-Easter and mid-June team meetings.</p>



**Paper 5**

**LEASK, M. (1989)**

**Performance Indicators**

**Leask. M. with Hopkins, D. in  
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# Performance Indicators and School Development

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**ABSTRACT** *Performance indicators are currently a vogue concept. In this paper some national and international perspectives on the term are described and an analysis made of recent Government publications on the topic. Two current attempts to use performance indicators in TVEI are discussed and a methodology for linking performance indicators to school development is described. The paper concludes that, in order to contribute to quality in education, performance indicators need to be linked to school development plans and to focus on student outcomes and the internal conditions of schools.*

## Background

Performance indicators are currently a vogue concept in the UK educational system (*vide* CIPFA, 1988; Theodossin & Thomson, 1987). The following extract from a recent article in *The Times Educational Supplement* (25.11.88) by Peter Mortimore gives some of the background:

In recent months the educational world has learned that the Statistics Branch of the Department of Education and Science has been investigating the uses of performance indicators; that some local education authorities have been experimenting with them; and that Croydon has hired a firm of management consultants to design a set for its use. In essence, the idea is simple: a sample of measures is used to judge the general performance of a school. These measures have been developed because as teachers, parents and governors know, schools can be very complicated places, and, in the past, it has often taken teams of inspectors, or even long-term research projects, to identify just how good a particular school might be.

In some ways the complexity of judging a school seems to fly in the face of common sense. This common-sense view suggests that whether a school is good or not can be assessed by looking at the examination results, by observing the pupils' behaviour in the street and by asking the parents. Paradoxically, each of these three simple performance indicators—for that is exactly what they are—is less clear-cut than might appear.

The examination results indicator only applies to secondary schools and, even there, where straightforward measures such as the proportion of the

year group obtaining five high grades in GCSE examinations can be calculated, it can be very misleading. This is because, in general, secondary schools do not always receive similar groups of 11-year-old pupils. Some schools attract a large number of 11-year-olds who have done well in their primary schools, are highly motivated to succeed in their secondary education, and have supportive parents committed to the value of schooling: other secondary schools, for geographical or historical reasons, do not.

The tasks facing the two types of schools, therefore, are very different. A comparison of the examination results which does not take account of this difference will be worthless if it is to say anything about the effectiveness of the schools.

In exactly the same way, the behaviour—in school or in the street—of pupils from different schools is very difficult to interpret. It is relatively easy to see whether it is—on the whole, civilized or unruly; it is not so easy to know whether it has improved or deteriorated since the pupils entered the school, and hence how effective the influence of the school has been.

Finally, asking the parents about the school might not indicate how good it is. Some parents may expect far more from schools than others. Some, with no knowledge or experience of other schools, lack any basis for their judgement. Others will be so loyal to 'their school' that they will be blind to its shortcomings.

It is because judging whether a school is effective—rather than whether it has favoured intake of successful pupils—is difficult, that more complex performance indicators are being studied.

A further example of the growing interest internationally in performance indicators is provided by the OECD discussions on Educational Indicators. The report on their Washington conference in November 1987 illustrates some of the potential and difficulties in the area (OECD, 1988). The conference was organised as part of the OECD Education Committee's programme on quality in education. What had been initially perceived as an occasion for the gathering of a limited number of countries with similar interests turned into a major international conference, indicating the current degree of interest in the topic.

Such interest in educational indicators does not mean, however, that all countries necessarily share identical perceptions of their uses nor did all delegates at the conference propose that internationally comparable measures of educational performance were the current priority. Yet whatever the nuances of priority, there was broad general agreement with the proposition that the revival in the prominence given to education in the 1980s has engendered significant pressure for clear and improved information about how well it functions. This presence is thus linked, in many quarters, to the goal of improving the quality of education and of strengthening mechanisms ensuring the public accountability of schools.

A number of basic observations about indicators recurred throughout the conference; they constitute an agenda of key issues:



- the dependence of indicators on particular values and models that should be clear,
- the need to distinguish statistics and research,
- the question of whether a broad or narrow range of indicators can and should be developed for international purposes,
- the need to be clear about the level of education being addressed; and the uses to which indicators are to be put.

The conference then addressed a number of the specific themes and items around which indicators cluster. The subjects, questions and presentations that guided these discussions fell into three groups:

- (i) Indicators of the outcomes of education.
- (ii) Resources for schooling.
- (iii) The context in which schooling takes place.

The major outcome of the conference was the establishing of an OECD/CERI project on international educational indicators (OECD/CERI, 1988).

The main objective of this project is to offer to Member Countries an appropriate institutional frame to carry out developmental work of educational indicators as tools for the general assessment and evaluation of educational systems at both national and cross-national levels. It would also be the framework for the development of a system of internationally comparable educational indicators useful to policy- and decision-making.

From the organisational point of view the project is built up as a decentralised project with 'learning networks' established among Member Countries interested in a particular cluster of educational indicators. The networks will be the mechanism by which groups of countries would come together to work to exchange their own experiences on a specific cluster of indicators. The five starting networks are the following:

- Network 1:* Enrolment, educational career paths and leavers at different stages.
- Network 2:* Student outcomes.
- Network 3:* The ecology of schools and the educational systems.
- Network 4:* Costs and resources of educational systems.
- Network 5:* Attitudes and expectations of the actors, clientele and partners in education.

One country would act as a leader and have the responsibility for proposing and co-ordinating efforts within the particular network, collecting data and summarising it. Each network will try to produce results that could be applied to the development of internationally comparable measures.

This broad national and international interest in performance indicators proves a context for our own more specific interest in linking performance indicators to strategies for school improvement. We wish in this paper to argue for an approach to performance indicators that is fundamentally linked to school development through a mechanism such as a school development plan. Such a combination of

strategies offers, we believe, great potential for linking together a variety of school improvement initiatives.

In their simplest form school development plans are a set of curriculum and organisational targets with implementation plans and time lines set by the school on an annual basis within the context of local and national aims. The plans are usually based on a three-year cycle with details for the first year and contingent aspirations for the subsequent two years. They may or may not include details of specific performance or process indicators, staff development needs and resource (both human and financial) implications.

School development plans are a relatively new phenomenon in the UK. The Education Reform Act and a number of the other recent curriculum and organisational initiatives, however, have required or will require the use of school development plans in one form or another. The LEA Training Grants Scheme, TVEI Extension, the National Curriculum, Teacher Appraisal and Local Management of Schools, are examples of initiatives that require overt planning at the school level. These plans, besides being a blueprint for implementation, also provide a basis for evaluation and monitoring both at the school and LEA level.

As well as an emphasis on three-year planning there is also an emphasis on performance indicators in a number of contemporary national educational initiatives. If these indicators can assume a more qualitative nature, be based on targets identified in school development plans and be subject to ongoing evaluation at the school level, monitored by the inspectorate, then we have a blueprint for bringing together a number of previously disparate areas of activity that could have a powerful impact on school development. This is because such a focus operates at a number of different organisational, cultural and curriculum levels within the school at the same time.

It is with this developmental aspiration in mind that we have prepared this paper. In it we do four things:

- (1) provide an overview of the term performance indicators as it is being used in the UK with particular reference to TVEI(E);
- (2) compare the approach taken by six LEAs in doing Performance Indicators for TVEI(E);
- (3) outline a method for linking performance indicators to school evaluation and development;
- (4) suggest some areas for future research and development work.

### **Performance Indicators: definitions, scope and potential [1]**

#### *Definitions*

A performance indicator (PI) is a statement of what is considered to be a good standard of performance or appropriate achievement in a particular field. We offer the following definition for discussion and refinement:

A performance indicator is a statement against which achievement in an area or activity can be assessed; they are also useful for setting goals and



clarifying objectives. For some performance indicators, a brief statement is sufficient; for others, the statement should be more specific and refer to supplementary processes which would give a measure of depth, quality and/or commitment in the particular area. In our view there is a place for both quantitative and qualitative indicators. For the purposes of school improvement, performance indicators should reflect a synthesis of LEA, national and local aims and be constructed in such a way as to provide signposts for development.

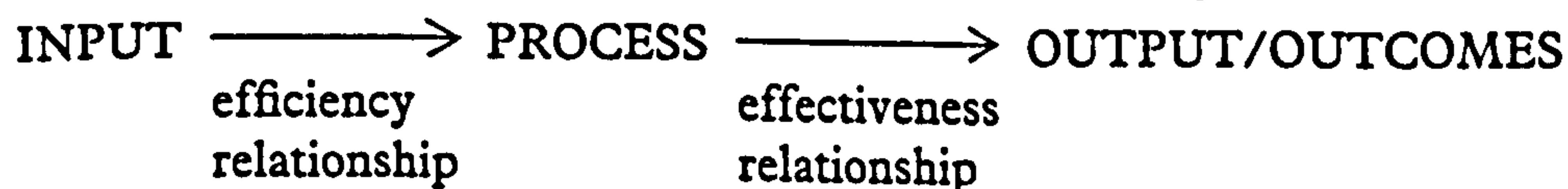
The DES (1988a) offers the following guidelines for establishing performance indicators. Performance indicators:

- (1) must relate to the stated objectives of the organisation;
- (2) must be as simple and as few as possible consistent with their purpose;
- (3) must be acceptable and credible to those concerned;
- (4) must be capable of acting as signposts to key areas where questions concerning operations can and should be asked.

**Performance indicators intended for aggregation so that the information can be used for making valid comparisons at more than one level**

- (5) must in addition be specific, quantifiable and standardised.**

Measurement of efficiency and effectiveness of institutions is also a major concern in most 'official' documents and performance indicators are seen to have a role to play in this area. A model used to describe educational institutions is outlined below. Performance indicators may be devised for each stage.



## Why Performance Indicators in the UK?

There is a trend in this country for more public sector accountability. Treasury Working Paper No. 38 provides examples of PIs in different government departments, and notes the difficulties experienced by departments (e.g. DSS, Employment, the Health Service) in developing indicators, where measures are not easily quantifiable. Nevertheless, these departments, including education, are being asked to measure achievement against predetermined targets.

Aspects of the Education Reform Act, particularly those concerning assessment, curriculum and the local management of schools, require the collecting of information in new ways and for new purposes. Performance indicators are regarded by the DES as a means of meeting some of these new needs.

The key concerns appear to be the desire to find methods of judging effectiveness and efficiency of institutions and in proving 'value for money', together with monitoring standards of teaching and pupil performance (DES, 1988a).

The following quote supports this analysis (DES circular 7/88, paragraph 151/2):



Effective monitoring arrangements established by the LEA will be a key condition for successful schemes of local management... LEAs will need to have accurate and up-to-date information on the performance of schools... LEAs will build on existing arrangements for monitoring the efficiency and effectiveness of their schools... governing bodies and head teachers will need to develop their own school-based indicators with advice and support from the LEA. The quality of the information base available at school level will be crucial...

### *Scope*

Performance indicators may prove useful in providing a range of information appropriate to a wide range of audiences, including parents, governors, the LEA, etc. They can be formulated as appropriate at all stages in the educational process—inputs, process, outputs, outcomes and used in measuring efficiency and effectiveness (Jesson, n.d.).

The DES in circular 7/88 suggest factors to be considered in establishing PIs. This list is virtually identical to that in the influential Coopers & Lybrand (1988) document *Local Management of Schools*. The Education Reform Act (ERA), particularly in relation to local management of schools (LMS), puts the responsibility on LEAs to develop performance indicators for effective monitoring. These include: financial PIs (section 42 ERA, DES circular 7/88 para. 213); management function PIs (school and LEA level); curriculum PIs (section 22 ERA, DES circular 7/88). There is a clear implication from the documents that we have studied that schools, parents, governors, the LEA and the DES are entitled to information for making both local and national comparisons of school/LEA achievement in a range of areas.

A director of education identified the following groups as requiring differing types of information which could be derived from the use of performance indicators:

- (a) parents in order to choose a school;
- (b) parents in order to participate in and understand their child's development;
- (c) staff in order to improve;
- (d) the head, staff and governors in order to manage;
- (e) the LEA to manage, allocate resources and arrange training; and
- (f) the Government in order to formulate overall policy.

There are resourcing implications in collecting and analysing such a range of data. The systems being devised to cope with LMS should also have the capability of dealing with performance indicator data relating to wider issues than financial management.

The qualitative dimension to performance indicators is often not appreciated by those unfamiliar with the term. The DES clearly states (1988a) that the "personal, social and cultural development of pupils" should be included together with more easily measured information (exam results, FE entry, etc.) in an assessment of the quality of education provided. The difficulties, however, in accurately assessing such outcomes are acknowledged in the DES paper. Atten-

dance, punctuality and behaviour are suggested as being affected by the quality of education and therefore worth considering as areas for the formulation of PIs. Some detailed examples are given in the DES document 'Performance indicators for secondary schools' (DES, 1988b). Much further work, however, remains to be done.

Socio-economic factors, as we noted in our opening quote, must also be taken into account in considering school performance. However, no clear guidelines for establishing the characteristics of the school population are given by the DES. Suggestions include the proportion of pupils in receipt of free school meals, a general description of relevant background factors provided by the LEA and LEA advisory staff assessments (DES, 1988a; DES Circular 7/88).

### *Potential*

From the national perspective, performance indicators are seen as contributing to an 'educational audit', giving 'guidance on value for money', setting norms, targets, goals, and providing information so that national and local comparisons of school or LEA performance can be made.

At the local level, there are a number of advantages to be gained from the development of performance indicators:

- PIs provide tools for managerial analysis for internal use.
- PIs can be useful in clarifying the objectives of an institution.
- Use of PIs can result in a picture of school performance built up year by year which will aid school improvement.

However, there are also attendant difficulties:

- There is lack of clarity at the moment about who/what is being measured and for whom.
- Efficiency and effectiveness do not necessarily go together. Indicators for both are required and sensitive interpretation is required.
- There is no simple link between inputs and outputs in education; in any case, methods of measuring inputs and outputs are not well developed.
- At the moment, there is probably no 'bottom line' for use in comparing an institution's effectiveness and efficiency. Thus, the process of building accurate performance indicators will take considerable time, effort and resources.
- The socio-economic context within which an institution operates is difficult to define. If this is made explicit—as is suggested so that assessment results can be put in context—it "is unlikely to be acceptable or constructive of good relations" (DES, 1988b). A suggested alternative is to use data on pupil ability at intake as a baseline but pupil expectation and motivation should not be ignored.
- There are serious problems of interpretation.

### *Performance Indicators and TVEI(E)*

We must consider whether PI development in TVEI(E) can or should be separated



from the development of PIs for institutions as a whole. Particularly when related to an institution's own development plans and the demands of LMS and ERA. Where LEAs or schools have access to a data base, there are a number of areas in which data collected over the years could provide a useful indication of improvement in curriculum entitlement for pupils.

As well as data relating to individual TVEI cross-curricular features, data could be collected on the school curriculum, staffing (qualifications, experience, INSET), individual pupil data, exam entries and results, financial information. Baselines for each institution could be established against which change over a period of time could be measured. Points to be borne in mind are: who is the information for and what purpose would be usefully served by collecting the data?

### *Coda*

As educationalists, with the well-being of pupils and institutions our prime consideration, we must be careful neither to accept performance indicators purporting to measure what is really unmeasurable nor to allow performance indicators to be seen as providing the sole information about what is happening in education. Other methods of measurement provide complementary information and different perspectives (e.g. particular evaluative approaches, school visit records) and we must develop and incorporate these into overall LEA evaluation strategies and reporting procedures.

We must also be aware of the quantitative emphasis on performance indicators prevalent in the review we have just made of 'official' documents. Although quantitative indicators are adequate for measuring outcomes, they have a limited utility in helping schools and LEAs implement school improvement strategies. But before making some suggestions about the design of a developmental/school-based approach to performance indicators we put this policy-oriented discussion into context by looking at some examples of current practice in the UK.

### **Performance Indicators in the UK**

In this section of the paper we describe and analyse two different approaches to performance indicators in TVEI(E) in the UK. The first approach is that of the Newcastle Evaluation Group that has recently attracted the attention of the national press. The second, the approach taken by the LEAs involved with us in the 'Support for the Evaluation of TVEI(E) Project' based at the Cambridge Institute of Education.

#### *The Newcastle Approach*

The rationale for the Newcastle approach was given at a conference on 'Effective Schools' (FitzGibbon & Hazelwood, 1988):

This use of an information system, or quality control data, has always been



recognised as desirable but the advent of computing power at reasonable costs makes it finally feasible... The strategy is to implement on-going "Quality Control" procedures: information systems which feed valid and useful information to all levels of the educational system, particularly information on important outcomes such as examination success. It is then the prerogative or the responsibility of the various management levels in the system to interpret and use the data in the light of their in-depth knowledge of the situations pertaining in the units which they manage. In the type of information system we envisage, the users of the information will also assist in revisions of the data collection instruments and in some of the research arising out of hypotheses generated by the quality control data.

They describe their model in diagrammatic form as shown in Fig. 1.

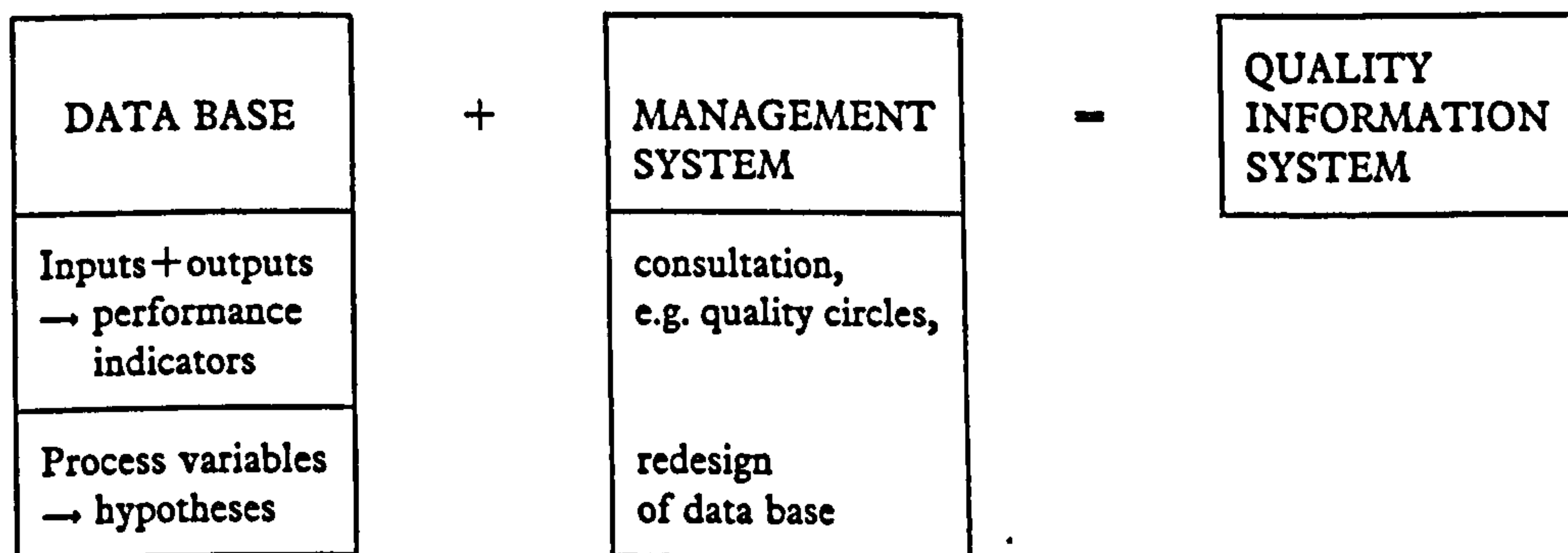


FIG. 1. FitzGibbon & Hazelwood's (1988) model.

The first published paper emerging from the Newcastle Group suggested that the only tangible outcome of TVEI for its students is reduced performance in national academic examinations (FitzGibbon *et al.*, 1988). The following extract from their paper gives a flavour of its approach and findings (FitzGibbon *et al.*, 1988, p. 49):

In the schools for which we had 'hard data', TVEI pupils obtained worse examination results than non-TVEI pupils in the summer of 1987, and this finding remained even after corrections were made for initial differences between the abilities of TVEI and non-TVEI pupils. If results on external examinations could be considered as outcome performance indicators for TVEI, then it must be said that the performance indicators were not favourable.

The press reports of the Newcastle paper tended to focus on the more sensational aspects of the paper, and this created a national furore which has had predictable political consequences. We do not wish to discuss these consequences here, except to say (i) that performance indicators are potentially very accessible to political (mis)interpretation, and (ii) that the Newcastle team used performance indicators

in a summative way, to make a judgement of the success (or not) of an educational programme.

*The Cambridge Support for the Evaluation of TVEI(E) Approach*

Our approach is, as we have intimated above, somewhat different. Six of the LEAs collaborating with us have produced plans for the evaluation of TVEI(E) that include performance indicators. We are grateful for being given access to these papers and have attempted in Table I to make a summary analysis of these planning documents. The analysis of the individual LEA approaches is in matrix form set against a series of parameters as follows:

- Purpose as seen by LEA
- Use of qualitative indicators
- Use of quantitative indicators
- Focus of indicators
- Derivation
- Methodology
- Link to school development
- Role of inspectorate
- Links with LEA evaluation strategy

Although the detail contained in the matrix in Table I is self-explanatory, there are a number of trends emerging from the analysis that require comment.

(i) PIs are seen in these documents as having a useful role in planning the management of change. How exactly this is to be done is a little unclear. There is also, however, an emphasis in a number of LEAs on PIs fulfilling an accountability role. How the accountability function links with the development function given a broadly similar methodology is unclear.

(ii) All six LEAs discuss quantitative indicators and are reasonably clear as to their purpose. Most indicators are preceded by phrases such as 'a number of...' or 'a percentage of...', thus emphasising quantity but not necessarily quality.

(iii) Although most of the documents discuss qualitative indicators there is less clarity about how they are operationalised and used.

(iv) A wide range of activity is commonly seen as providing a legitimate focus for performance indicators from curriculum, through organisation to teaching quality. Most of the indicators in this sample of documents refer to cross-curriculum areas which obviously reflects the influence of TVEI(E).

(v) As a corollary to the breadth of indicators, most of the statements that purport to be performance indicators are often no more than descriptions of areas which should be considered in delivering performance indicators. These comments apply to both quantitative and qualitative indicators. This is most probably partially the result of the indicators being taken from 'official' documents rather than being purposefully and specifically developed for a particular scheme.

(vi) In most documents there is seen to be a direct link between the establishing of PIs and the LEAs evaluation policy for TVEI(E). School self-evaluation

TABLE I. An analysis of LEA documents on performance indicators (LEAs A-F)

Parameter	A	B	C	D	E	F
Purpose as seen by LEA	Management of change within institution	Accountability (TVEI focus)	Accountability (TVEI focus)	Accountability	Management of change Facilitation of development	Accountability (TVEI content)
Use of qualitative indicators	✓	—	✓	Some	✓	✓
Use of quantitative indicators	✓	✓	Some	✓	✓	✓
Focus of indicators	Curriculum provision Timetable Resources Inset Inter-institution links Classroom interactions	Academic skills/ expectations Post-16 destinations Teacher quality Equal oppor. issues Curriculum provision Exam results Profiling	Management of change Teacher quality Curriculum provision and integration Classroom interaction Documentation Inset Resources Equal oppor. issues	Pupil personal effectiveness Curriculum provision and integration Post-16 destinations Inter-institutional links Links with industry	Equal opport. issues Curriculum provision and integration Inter-institutional links Post-16 destinations Inset Resources Profiling Communication Policy	Classroom interactions Counselling Careers Post-16 destinations and provision Inter-institution co-operation Community/Industry links Equal oppor. issues INSET Resources Pupil personal effectiveness
Derivation	?	Working party and HE support	Working party and HE support	?	Working party and HE support	?
Methodology	School self-evaluation	LEA monitoring	School review and LEA monitoring	School review and LEA monitoring	School review and LEA monitoring	LEA monitoring and review and evaluation School self-evaluation
Link to school development	Focused on school development	?	IDP —see methodology	School review	IDP —see methodology	School self evaluation
Role of inspectorate	not mentioned	not mentioned	In monitoring and review	In monitoring and review	In monitoring and review	Monitoring, review and Evaluation
Links with LEA evaluation strategy	not mentioned	not mentioned	Directly linked	Directly linked	Provides a 'bridge' Directly linked	Directly linked

Key: HE, higher education; ✓, considered; ?, insufficient information provided; IDP, institutional development plan.



forms an important strategy in this policy for most LEAs, but again the infrastructure for implementation is not described in detail.

This analysis provides some salutary conclusions. There is a potential tension between indicators as a means of accountability or development. The lessons from the school self-evaluation experience of some years ago suggest that such a tension is counter-productive. The formulation of quantitative and qualitative indicators is at present rather crude. They are more like descriptive statements on areas of focus than specific indicators that can assist in planning development. This comment is particularly pertinent given the emphasis in the documents we reviewed on cross-curricular issues. These initiatives necessitate the production of qualitative indicators that focus on process as well as outcome. Much work remains to be done in this area. Finally, although there are aspirations in most documents for linking PIs to both school development and evaluation, the infrastructure for so doing remains under-developed.

There obviously remain some dilemmas in producing specific performance indicators for development in TVEI(E). In an attempt to resolve some of these problems we have developed the strategy described in the following section.

### **Linking Performance Indicators to School Evaluation and Development [2]**

When development is the goal it is the school development plan rather than performance indicators *per se* that is the more useful organising concept. Performance indicators are consequently subsumed within the school development plan which is itself subject to evaluation.

In Fig. 2 we have attempted to sketch out the links between local and national curriculum aims, development plans, performance indicators and school evaluation. The school development plan is derived from national, LEA, consortia, school and TVEI aims, and contains a series of curriculum objectives at the consortia, school, departmental and individual teacher level. These objectives are then operationalised for year 1 and more loosely defined for the following two years. The curriculum objectives for year 1 are translated into a series of qualitative indicators which become a blueprint for curriculum development and monitoring. This blueprint is then subject to evaluation by the school and the whole process is monitored by the inspectorate.

The evaluation process is outlined in Fig. 3. It follows a linear sequence that begins with the school/college development plans, from which are derived priorities and targets with associated criteria or performance indicators. Evaluation questions that follow from these targets and indicators are established and they in turn give rise to certain information needs that have data collection implications. Once this information has been collected and analysed it is fed back into the formative process which leads to further development and another evaluation cycle.

This process has a number of important features. The first is that it assists with implementation and development because the establishing of targets and criteria specifies at the outset the development process. Second, it establishes a logical chain

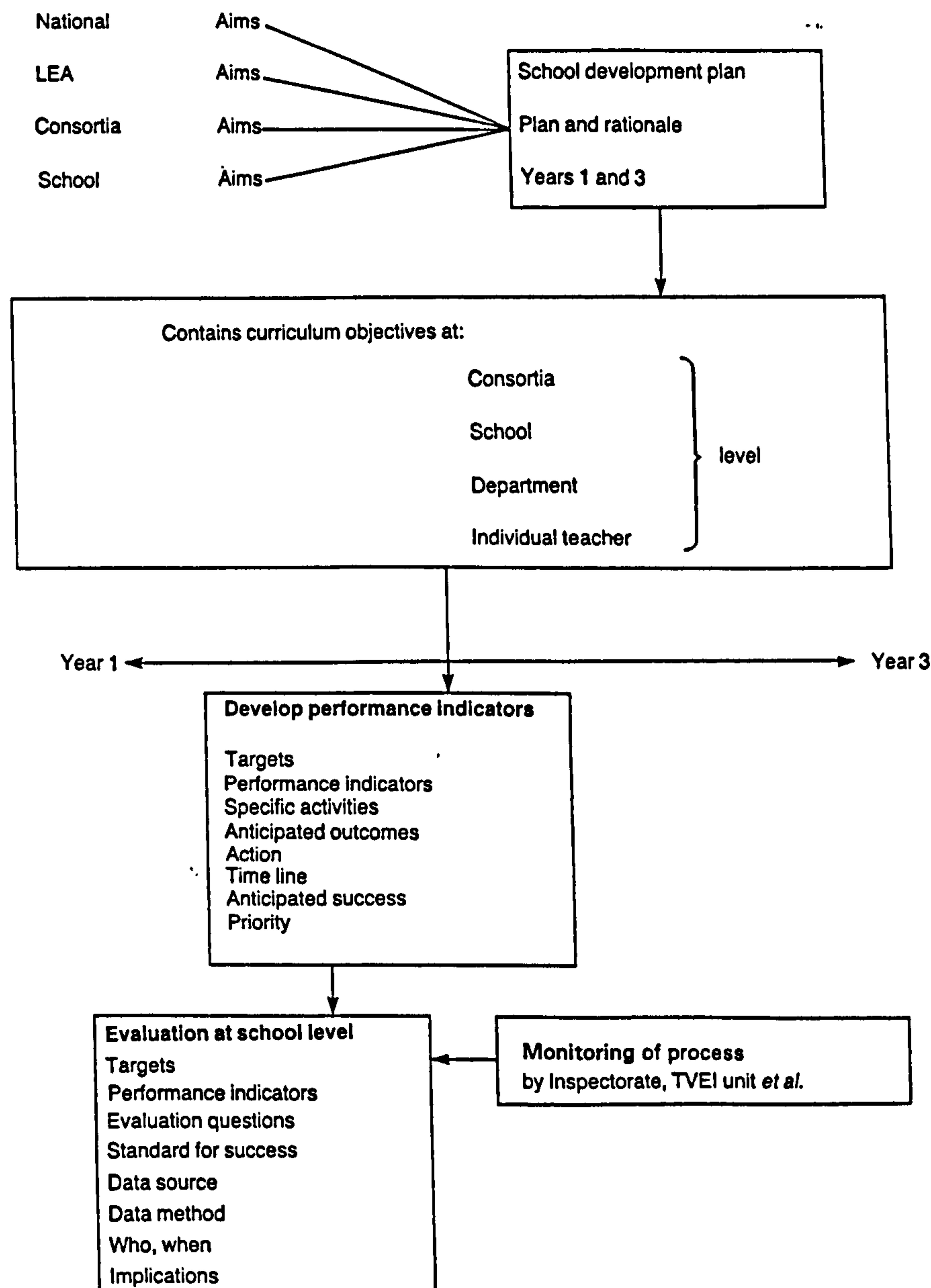


FIG. 2. Development plans, targets and performance indicators.

of action that relates aims to targets to evaluation questions and to particular information sources. In other words evaluation data are specifically related through the evaluation questions to curriculum aims. Third, the process is formative and cyclical. The evaluation feeds into the formative process that results in a revision of the development plan and a new cycle of evaluation. Fourth, although the process is represented in the diagram in a linear and sequential fashion, it is of course in practice a lot messier than that! Once the evaluation process is underway departmental or working groups will be working at different speeds as they intermingle

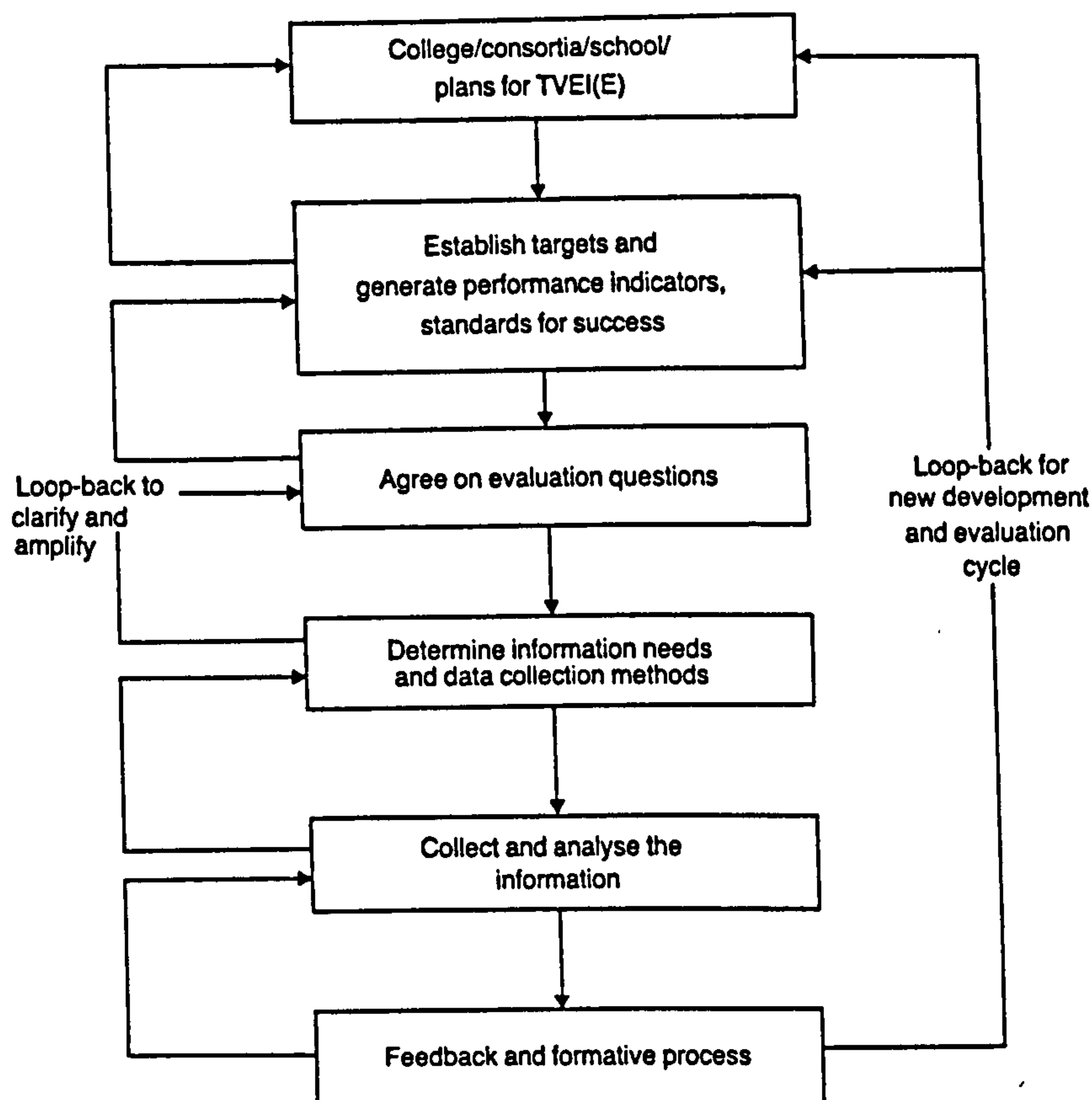


FIG. 3. The evaluation process.

their development and evaluation activities. On a more formal level development plans are normally reviewed annually, but they of course represent only the tip of the iceberg.

A scheme for translating objectives into a curriculum blueprint is seen in Table II. For example the figure could be used to show how a target, say pupil-centred learning, is translated into a series of performance indicators which themselves are amenable to further specification in terms of quality. It is also important to give some indication of anticipated pupil outcomes. These four components will most probably remain constant across consortia, colleges/schools and departments as they are content-specific. What will be different are the staff actions, the time lines, the expectations that a school or department may have of their progress, and the priority that they give to this particular objective. These components of the figure are all context-specific. Using this approach to developing performance indicators allows for more systematic curriculum development as well as providing a basis for evaluation.

The development of process indicators provides a basis for developing more specific evaluation questions. The performance indicators provide the context for the evaluation questions. Evaluation questions will obviously vary from situation to



TABLE II. Developing qualitative performance indicators

Issue or theme	Anticipated outcomes, i.e. what do you want to see happening?	Performance indicators		Action and by whom?	Deadlines	Realistic anticipated success given anticipated starting point	LEA/ school/ dept priority
		key components	sub-division of key components				

situation but we should recognise that changes in teacher knowledge, skills, attitudes, the school's organisational capacity and student performance will all need to be focused on at some stage in the evaluation process.

It is difficult and time-consuming enough to conduct an evaluation but all this effort is wasted unless it is used in and assists the development process (Hopkins, 1988). The first step is to present or feedback the results of the evaluation in an accessible form. The basic rule is that the information should be presented in a positive rather than negative way. This knowledge is of course the vital ingredient in the formative process and therefore needs to be framed as strategically and helpfully as possible. In particular: Is it clear? Is it relevant? Does it contain images that people can relate to? Is it motivating? Does it point to skills that need to be acquired?

The formative process can take a number of forms but three may be helpfully distinguished. The first is where a department or faculty discovers through doing its evaluation work that their course materials are not sufficiently explicit and almost immediately revise them in the light of the data they are gathering. The evaluation has in this instance a direct influence on the teaching-learning process. This informal process is very common and a good example of how evaluation can be integrated into the normal rhythm of a school's curriculum development.

A second and more formal type of formative process occurs each year when the school/college development plan is revised in the light of the current evaluation. This discussion and revision sets the pattern for the next school year and will affect timetabling, option choices, staff development plans, teaching assignments and so on. Through these structures the teaching-learning process will also be affected.

A third form of formative process is where the school/college management team discuss the evaluation with the local inspectorate or external evaluation consultant. The inspectorate will be concerned to monitor the school's development and to make certain it is in line with national and local priorities. The evaluation consultant's questions are normally of a different order to practitioners' questions which tend to be related to the day-to-day activities of the project. These questions, or 'sensitising concepts' are usually to do with trends or ideas that transcend individual classroom concerns and relate to the wider implications of the scheme. Obviously, these different order questions need to promote dialogue if an effective formative process is to occur. This third type of formative dialogue will also affect the teaching learning process but at a greater distance than the previous two examples. The point, however, is that all three types of formative dialogue are necessary if effective and ongoing development is to occur.

Mention has been made in this section of the paper of the need to integrate evaluation and development and to regard it as a natural process at the school level rather than a 'bolt-on extra'. The concept of a development plan with the school/college setting its own performance indicators within the context of national and local aims allows for an appropriate degree of institutional autonomy and empowers individual teachers because it allows them more control over their professional lives.

### **Future Research and Development**

This paper has been prepared at the level of aspiration. It reflects intentions and hopes for the future rather than description and reflection on past events. It is therefore only a first stage in a much longer process of establishing a developmental focus and methodology for performance indicators. In doing this we must pay careful attention to at least four issues.

#### *The Political Implications and Use of Performance Indicators*

As we implied earlier, performance indicators can be used for accountability and bureaucratic purposes. The result could be that development is inhibited and the teaching process distorted. The two following quotations are illustrative:

...care must be taken to avoid putting too much weight on what [is] readily measurable... (DES, 1987, p. 6)

The appetite for consumers for any scrap of comparative information about [educational institutions] however irrelevant to their precise needs and the enthusiasm of politicians for value-for-money, even when no coherent and quantifiable objectives have been identified guarantee not only the uncritical but the reckless use of any published performance indicators. (THES, 1988)

There will be a need to monitor the political and bureaucratic use of performance indicators.

#### *How are Performance Indicators Determined?*

At present the derivation of performance indicators is crude and simplistic. As long as they remain so the developmental process will be inhibited because of a lack of clear direction. Qualitative indicators need to be formulated more precisely to relate to the crucial variables in educational process, not just adapted from 'official' documents. Quantitative indicators have similarly to become more precise in reflecting educational processes. It seems likely that they will be most effective in focusing attention on areas for development if they are devised by, or in collaboration with, those closely involved with the teaching-learning process, rather than being imposed from the outside.

#### *What is the Link to School Development Plans?*

Unless performance indicators are linked at some fundamental level to school/college development plans and school/college-level evaluation they lose much of their developmental power. We therefore need to monitor the effectiveness of and progress towards establishing school development plans and associated evaluation efforts. Although we need to monitor progress, we also need to share our experiences. Too often innovations are not disseminated, there is no debate and little



subsequent learning. Schools and LEAs must be encouraged to talk about their successes and failures with performance indicators and school development plans at conferences and meetings, and in the educational press.

### *Enhancing the Quality of Education*

In our opinion the purpose of having performance indicators and school development plans is to enhance the quality of education. To us this means two things: that student outcomes (e.g. academic, personal and social) and the internal conditions of schools (e.g. the teaching-learning process, capacity for change) are improved. Although these effects are difficult to measure, some attempt has to be made to do so, if we are satisfactorily to make the case for linking performance indicators to school development.

### NOTES

- [1] These definitions are taken from Leask (1988).
- [2] These ideas are more fully discussed in Hopkins (1989), ch. 7.

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**Paper 6**

**LEASK, M. (1989b)**

**Teacher-Evaluators - the Missing Link**

**Contribution to Hopkins, D.  
*Evaluation for Development, pp.90-93*  
Buckingham, Open University Press**

### Teacher-evaluators: the missing link?

The teacher-evaluator approach to educational evaluation combines the strengths of external professional evaluations with those of classroom action research. This role has recently been researched by Marilyn Leask (1988), and what follows is a summary of her findings.

The teacher-evaluator approach is based on small teams of teachers evaluating issues of LEA-wide importance. These teams are made up of teachers of varying status who work in different institutions. The express purpose of the work is to provide timely formative evaluation in order to influence curriculum development, but there is a secondary role to inform outside funding bodies of progress made in particular educational programmes. This approach could also be adapted for use at the school level by a supportive Head through the use of strategic timetabling and/or reallocation of resources.

### *The LEA evaluation framework*

Crucial to the success of teacher-evaluations is the construction of a clearly defined and supportive LEA framework which provides accepted ethical guidelines, checks quality and standards of the working papers produced and ensures that findings are considered and acted upon by the appropriate groups. The LEA support structures and the team structure play a vital part in allowing teachers to work independently of LEA or school pressures.

Figure 6.2 sets out a possible framework for developing the teacher-evaluator strategy. There are three stages, each of equal importance. The first stage is the setting up of an initial planning group consisting of LEA staff and a professional evaluator to design the evaluation, and the establishment of an ethical code and procedures to be followed. The second stage involves establishing groups with three differing roles:

- an Evaluation Advisory Group which oversees the evaluation work;
- a reading panel to examine individual reports before publication for methodology/scope/relevance/clarity (the group does not have a censoring function);
- teacher-evaluator teams who plan evaluations, collect data and write the reports.



The third stage is that of discussion and use of findings.

Once the Evaluation Advisory Group accepts that an issue is to be evaluated, a team of staff interested in the area is established and given appropriate training in evaluation skills. When the group has been working for some time, it is usual for a number of members to be quite experienced and new members are drawn in.

Other key elements influencing the successful development of the approach within an LEA include:

- the 'atmosphere' in the LEA and within schools;
- the quality of training provided for teachers;
- the team structure and the personal qualities and status of the teacher-evaluators;
- the appointment of a co-ordinator;
- the role of the professional evaluator.

### *Benefits and problems*

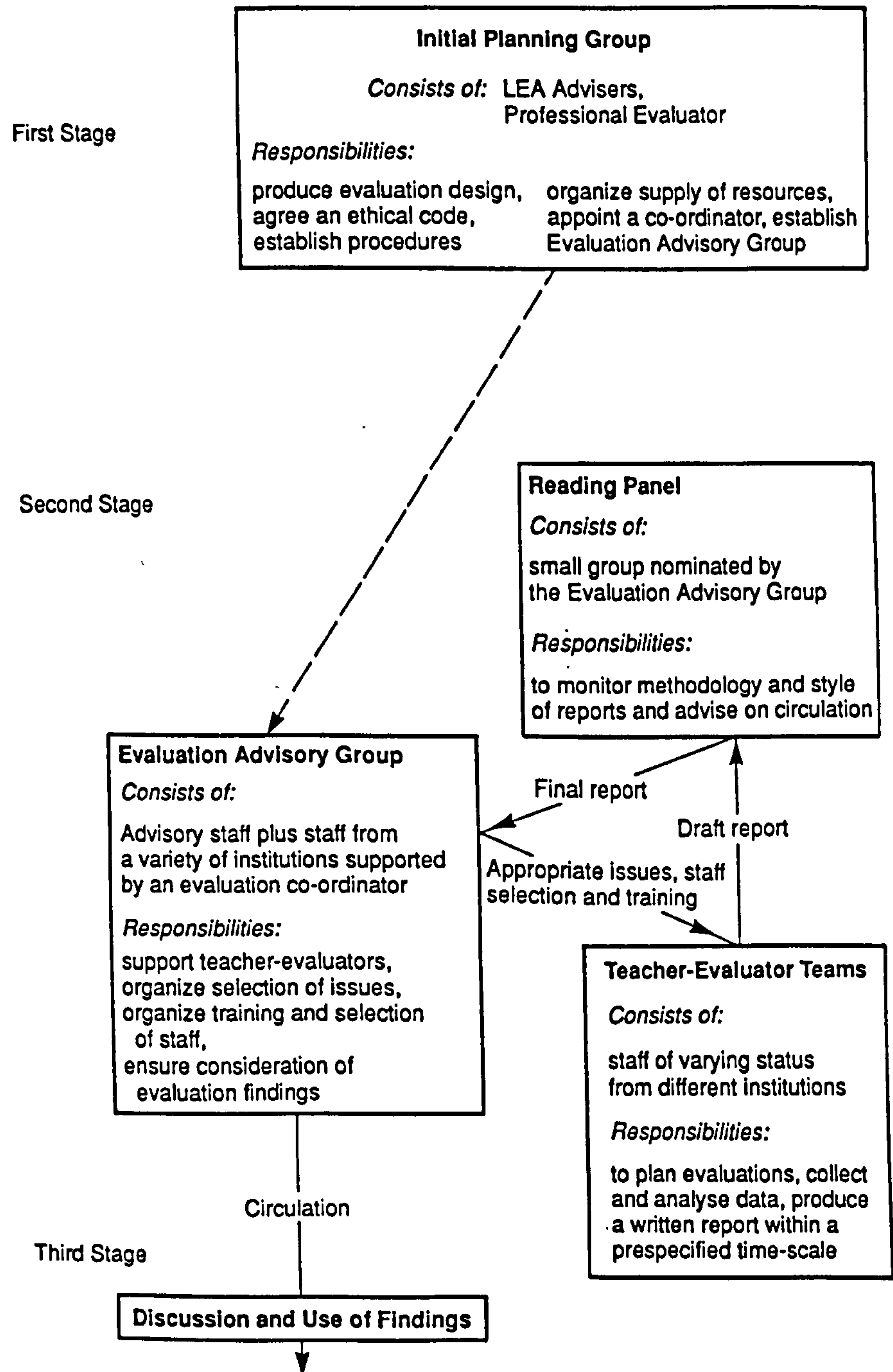
There are benefits on an LEA-wide level, on an institutional level, and on an individual level for both pupils and teachers. The LEA and institution gain with the building up of expertise among teaching staff, the creation of a more reflective profession, the welding of a sense of common purpose across the LEA and a growth in evaluation as teacher-evaluators apply their skills in other areas. Channels of communication within the LEA are improved as the views and experiences of those involved in curriculum change (from pupils to heads to administrators) are reported. Aspects of the day-to-day functioning of schools and classrooms and aspects of administrators' decisions can be communicated with staff at all levels of the LEA. This type of information has hitherto not been easily exchanged.

The evaluations are a tool for improving the curriculum and management structures. The findings provide an extra dimension to decision making and reports depersonalize issues so that discussion is not hampered by personality conflicts. There is a cross-fertilization of ideas between institutions, something that staff find particularly stimulating and enjoyable. Students and staff are given a voice through qualitative evaluation which can be heard at all levels.

Staff gain through the personal and career development afforded by the acquisition and use of new skills. Many staff already have evaluation expertise and experience gained through their initial training or through subsequent courses, which is often not utilized.

As with any evaluation, there are difficulties to be faced. The adherence to an ethical code eliminates the most obvious difficulties relating to confidentiality and use of data. Staff wariness needs to be anticipated and dealt with as does the potential non-use of reports. Discussion of the findings must be built in as part of the original evaluation design if the evaluations are to be effective. The reports should be presented as working documents providing a basis for change rather than as statements of fact. The problem of divided loyalties

Figure 6.2 Teachers as evaluators: LEA evaluation framework.



arises for staff, and the procedures and training for coping with this needs to be planned at the outset.

Resource provision must be made in the form of tape-recorders, printing facilities and clerical support. The other most important resource is time – evaluation is time-consuming. The time commitment must be realistic and time made available for the work where possible, e.g. non-teaching periods kept free and supply provided.

The possibility that teacher-evaluators may avoid difficult issues needs to be recognized and the expertise and wider perspective of the professional needs to be used together with the inside knowledge of practitioners in making decisions about appropriate issues for investigation. Clearly, the evaluations need to be responsive to audience need and procedures should be established to check the relevance of issues being considered.

#### *In conclusion*

The teacher-evaluator approach has the potential for providing timely, effective and relevant evaluation to inform decision making and influence practice. It places the power of evaluation in the hands of the teachers to use as a tool for improving education. The implementation of the National Curriculum, the change to Local Management of Schools and the introduction of appraisal of teachers are all initiatives which require teachers to justify their methods and actions – the teacher-evaluator approach develops the professional skills which teachers must possess if they are to respond to the challenges faced by education in the 1990s.

#### *Summary*

There are many aspects to the role of evaluator, as is seen by the various contributions to this chapter. The local (i.e. LEA) evaluator has been the main focus of discussion and most of the debate has been around the internal-external dimension. As I mentioned at the beginning of the chapter, we need more knowledge of the conditions necessary to support the ideal models suggested by a number of commentators. The infrastructure described by Marilyn Leask in the previous section is an example of an LEA which is tackling the problem seriously and doing something about it.



**Paper 7**

**LEASK, M. (1989a)**

**Planning for School Development:  
Advice to Governors, Headteachers and Teachers**

**Leask, M. with Connolly, J., Hargreaves, D.H., Hopkins, D. and  
Robinson, P.**  
*London, DES/HMSO*

SCHOOL DEVELOPMENT PLANS PROJECT

**I**

**PLANNING  
FOR SCHOOL  
DEVELOPMENT**

**ADVICE TO  
GOVERNORS,  
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# PLANNING FOR SCHOOL DEVELOPMENT

## ADVICE TO GOVERNORS, HEADTEACHERS AND TEACHERS

David H. Hargreaves

David Hopkins

Marilyn Leask

Joe Connolly

Paul Robinson

We wish to thank those LEAs which provided access to their development planning documents. We are particularly grateful to officers, headteachers and teachers in the fourteen LEAs (Berkshire, Cambridgeshire, Cleveland, Chesham, Cumbria, Dorset, Enfield, ILEA, Isle of Wight, Oxfordshire, Redbridge, Somerset, Suffolk, Trafford) for their co-operation during the project. Thanks are also due also to other officers, heads and teachers in various parts of England and Wales and to a number of governors and members of the National Association of Governors and Managers.

This booklet has been written for all schools irrespective of their size or phase. Although development planning will vary from school to school, many aspects of the process are common to all schools.



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# I WHY SCHOOL DEVELOPMENT PLANS?

## INTRODUCTION

The Education Reform Act 1988 and recent legislation aim to raise levels of pupil achievement, in particular through the introduction of the National Curriculum and improved self-management by schools.

For governors, heads and teachers, bringing together these changes will require, as part of the new partnership, strategies for managing development and change to make the school more effective. School development plans are a means of realising this goal.

The task for schools is clear: to integrate the various aspects of planning in the interests of improved effectiveness. This booklet aims to give practical support to schools by means of advice based on the experience of LEAs and schools which have pioneered school development plans.

Development planning encourages governors and teachers to answer four basic questions:

where is the school now?

what changes do we need to make?

how shall we manage these changes over time?

how shall we know whether our management of change has been successful?

The purpose of development planning is to help the school to provide practical answers to these questions. This will, of course, itself take time and energy: the gain is that the school is enabled **to organise what it is already doing and what it needs to do in a more purposeful and coherent way.**

The distinctive feature of a development plan (DP) is that it brings together, **in an overall plan**, national and LEA policies and initiatives, the school's aim and values, its existing achievements and its needs for development. By co-ordinating aspects of planning which are otherwise separate, the school acquires a shared sense of direction and is able to control and manage the tasks of development and change. Priorities for development are planned in detail for one year and are supported by action plans or working documents for staff. The priorities for later years are sketched in outline to provide the longer term programme.

## ADVANTAGES OF DEVELOPMENT PLANNING

Heads and teachers with whom we have spoken felt that there were eight main advantages.

1. A DP focuses attention on the aims of education, especially the learning and achievement, broadly defined, of all pupils.
2. A DP provides a comprehensive and co-ordinated approach to **all** aspects of planning, one which covers curriculum and assessment, teaching, management and organisation, finance and resources.
3. The DP captures the long-term vision for the school within which manageable short-term goals are set. The priorities contained in the plan represent the school's translation of policy into its agenda for action.
4. A DP helps to relieve the stress on teachers caused by the pace of change. Teachers come to exercise greater control over change rather than feeling controlled by it.
5. The achievements of teachers in promoting innovation and change receive wider recognition, so that their confidence rises.
6. The quality of staff development improves. In-service training and appraisal help the school to work more effectively and teachers to acquire new knowledge and skills as part of their professional development.
7. The partnership between the teaching staff and the governing body is strengthened.
8. The task of reporting on the work of the school is made easier.



## THE PLANNING PROCESS

These advantages are far from automatic and it takes skill to realise them all. Every school learns for itself in its own way: but each school does not need to re-invent the DP wheel.

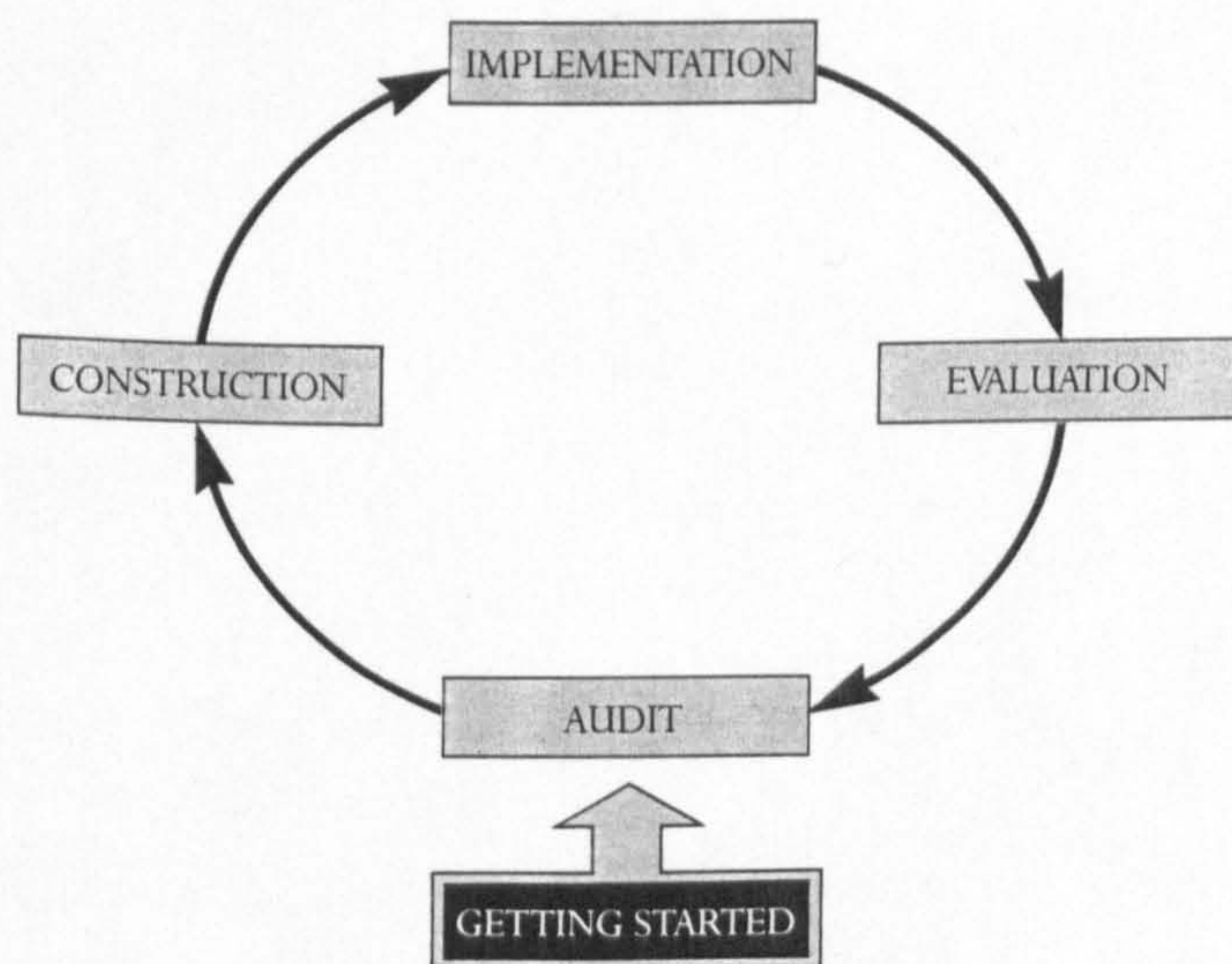
There are four processes in development planning:

**audit:** a school reviews its strengths and weaknesses

**plan construction:** priorities for development are selected and then turned into specific targets

**implementation:** of the planned priorities and targets

**evaluation:** the success of implementation is checked.



The terminology for these processes or stages varies between schools and LEAs and they are often portrayed as a sequence of stages which form a planning cycle. In practice, the four processes fuse into one another.

Diagram 1: The planning cycle

## GETTING STARTED

For schools with experience of school development planning, this booklet can be used to complement both existing practice and LEA guidelines. In schools where the idea of a DP is novel there will naturally be questions, such as: will it be worth the time and effort involved?

Governors and staff need to recognise the value of development planning. Here are some points to consider:

how will it help improve the quality of the education we provide?

how will it help us to manage change and cope with 'innovation overload'?

how will it help us enhance the partnership between teachers, governors, parents and the LEA?

how will it help the staff to work together in realising the aims of the school?

Questions such as these might be addressed in one or more of the following activities:

the head and governors discuss the advantages of development planning, or a committee of the governors and staff considers this booklet and advises the governing body how it might benefit the school

discussing development planning with LEA officers\*

devoting a staff meeting or training day to this booklet

arranging a visit by the head, some governors and staff, to a school which has successful experience with a DP; or inviting people from such a school to talk about their experience

staff of two or three small schools meet together to discuss the booklet.

By preparing the ground a school is more likely to find development planning a successful and rewarding experience.

\*in this booklet, 'LEA officers' includes advisers and inspectors



# CARRYING OUT A SCHOOL AUDIT

## INTRODUCTION

Planning needs to start from where the school now is. A DP is about the management of change and development. Properly understood, *change* is just another word for *growth*. To assist the process of growth, one needs to know where one is *growing from* as much as where one is *growing towards*.

Carrying out an audit involves:

- taking account of the context
- deciding upon the content
- allocating roles and responsibilities.

The audit can vary in scope. A review of curriculum and of resources should be conducted every year. Some schools might undertake a full-scale review of their work; most will focus on specific areas each year and so build up a comprehensive review over several years.

The *purposes* of the audit are:

- to clarify the state of the school and to identify strengths on which to build and weaknesses to be rectified
- to provide a basis for selecting priorities for development.

## THE CONTEXT FOR THE AUDIT

A school should set its audit within the context of:

- the aims and values of the school
- policies and initiatives of central government and the LEA
- recent reviews of the school
- other views and perspectives.

**Aims and values of the school** are the starting point. Aims describe the fundamental purpose of the school, so they are important criteria by which the school judges itself. Which aims are being most fully achieved in practice, and why? Which aims are least well achieved, and what might be done to achieve them?

**Policies and initiatives from central government and the LEA** influence the aims of the school and provide some of the grounds for selecting priorities during the construction phase. Can the initiatives be grafted onto past achievements? Do they help to remedy known deficiencies?

**Recent reviews of the school**, either in the form of a school self-evaluation or an inspection/review by the LEA or HMI, will make the audit simpler. Was the outcome of the review accepted by the governors and staff? What action was taken in the light of the review? How might LEA officers help in the audit process?

**Views and perspectives of individuals and groups** reveal how the school is seen by staff, governors, parents, pupils and the community. How can existing consultative processes contribute to the audit? What new ones might be needed?

## THE CONTENT OF THE AUDIT

The school might select any of the following areas for intensive audit in a single year:

- |                                    |                             |
|------------------------------------|-----------------------------|
| pupils' diversity and achievements | assessment and recording    |
| curriculum provision and access    | teaching styles and methods |



responsibilities of the teaching staff  
school management and organisation  
relationships with parents  
partnership with the local community

links with other schools and colleges  
school, LEA and national documents  
resources.

Two of these, curriculum provision and resources, require an annual audit, so more detailed guidance on them is provided.

### AUDITING THE CURRICULUM

Schools are now reviewing their curriculum to meet the requirements of Section 1 of the Education Reform Act and the National Curriculum. The *Annual Curriculum Return* "is designed to be used as a planning tool by head teachers, as well as for information purposes by the LEA and the Secretary of State". Schools therefore need to:

- check whether the planned curriculum meets the statutory requirements
- identify possible gaps or overlap between subject areas
- ensure that where two or more subjects or activities are concerned with the same range of objectives, this is recognised and used positively
- analyse the curriculum for each year group in terms of curricular objectives within and outside the National Curriculum
- decide in which parts of the school curriculum to locate work leading to the National Curriculum and other school curricular objectives
- assess how much teaching time is available and how best to use it
- compare *planned* provision with *actual* provision
- judge whether curriculum issues need to be among the priorities for development.

### AUDITING THE RESOURCES

The governors and head need to ensure an appropriate match between plans for development and the use of resources. A DP needs to be supported by financial and resource planning. This task will become more important as many schools become responsible for their budgets.

Account needs to be taken of:

- how and why the school used its resources during the previous year
- how the school judges and ensures effective and efficient use of resources
- how development planning should fashion the use of resources rather than being fashioned by them at a late stage.

Effective auditing of resources will make construction of the plan easier and more realistic. During the audit a person or group should make use of existing information, or gather information, about the deployment of resources between years and budget headings. This involves considering:

- the use made of the expertise and time of teachers and support staff
- expenditure on materials, consumables and equipment
- running costs such as heating, lighting, telephone bills
- the use of resources from outside the school's immediate budget eg TVEI, LEATGS
- resources or income the school has generated (and may be able to generate) for itself
- the use of accommodation.



## WHO DOES WHAT? – ROLES AND RESPONSIBILITIES

To undertake its audit within a relatively short time, the school needs to decide:

how to compile the relevant information and evidence

how to select certain areas for audit, postponing others until later years.

The audit is easier if it is carefully planned and responsibility for particular aspects is shared out.

For example:

**a curriculum leader** in a primary school leads a small group to scrutinise a selection of pupils' work from different year groups to examine progression and continuity and their relation to the National Curriculum

**a department** in a secondary school reviews its curriculum provision; assesses the implications of the National Curriculum for that subject; analyses policies and practice on pupil assessment; analyses examination/test results; reviews pupils' written work to check on progression and continuity

**a team** considers relations with parents and the wider community

**the head, a deputy, or a senior teacher** leads a working party on topics such as cross-curricular issues, curriculum provision as a whole, pupil attendance, the school's documentation

**the staff development or INSET co-ordinator** leads a working party to review staff development, INSET provision and dissemination, teacher appraisal, care of probationer teachers.

Lead persons for each aspect of the audit need a clear brief, with a time-scale, and should produce a short summary of the main findings and areas for development.

The head, or a senior member of staff, then draws the various elements of the audit together in a summary over-view, and also proposes for further discussion a 'long list' of the main issues. This provides the best basis for the school to move to the construction phase.

### CHECKPOINTS

Is it appropriate to do a full-scale audit or focus on specific areas over several years?

How will the audit help the choice of priorities?

Is there an audit of the curriculum and of resources?

Have roles and responsibilities and time-scales for the audit been clearly defined?

Will the audit result in a short summary document of findings and recommendations to provide a basis for constructing the development plan?



# DRAWING UP THE PLAN

## INTRODUCTION

The more carefully the plan is constructed, the easier it will be to manage the process of implementation.

Plan construction involves:

- determining priorities for development
- constructing and agreeing upon the plan
- publicising the plan
- drawing up the action plans
- linking the development plan with other aspects of planning (eg National Curriculum development plans).

The plan should be realistic, neither too ambitious nor insufficiently demanding. We suggest that there should be no more than three or four major priorities, though each priority may contain a number of elements. If the plan is realistic, it is much more likely to be implemented.

## DETERMINING PRIORITIES FOR DEVELOPMENT

For most schools the list of issues competing for a place among the priorities will be long. Everybody involved in the school will have personal preferences for immediate attention yet a rag-bag of issues brought together does not make a development plan.

Some issues are more important or more urgent than others and so have a better claim for immediate attention. Changes need to be set within a time sequence in which each change becomes manageable. In this way the risk of trying to do too much too quickly is reduced.

Plans are constructed in *detail* for the year ahead. The longer term priorities for the following two or three years are described in *outline*. This gives continuity and coherence to the school's development, whilst leaving room in the plan to meet future demands arising from national or local initiatives and the school's changing needs.

The main task of the construction process is to decide which issues should be priorities for the first year of the plan, and which must be postponed to the second, third or even later years.

The governors, head and staff should consider all the factors affecting planning, which arise from six main sources:

- the aims and values of the school
- national policies and initiatives – eg the National Curriculum and assessment, staff appraisal, TVEI
- LEA policies and initiatives – eg records of achievement, school-industry links, LEATGS local priorities
- school initiatives – eg school-based curriculum development
- issues emerging from the audit
- finance available.

The selected priorities reflect the school's response to and synthesis of national and local policies and initiatives. The plan must acquire its own coherence and relate closely to the aims and values of the school.



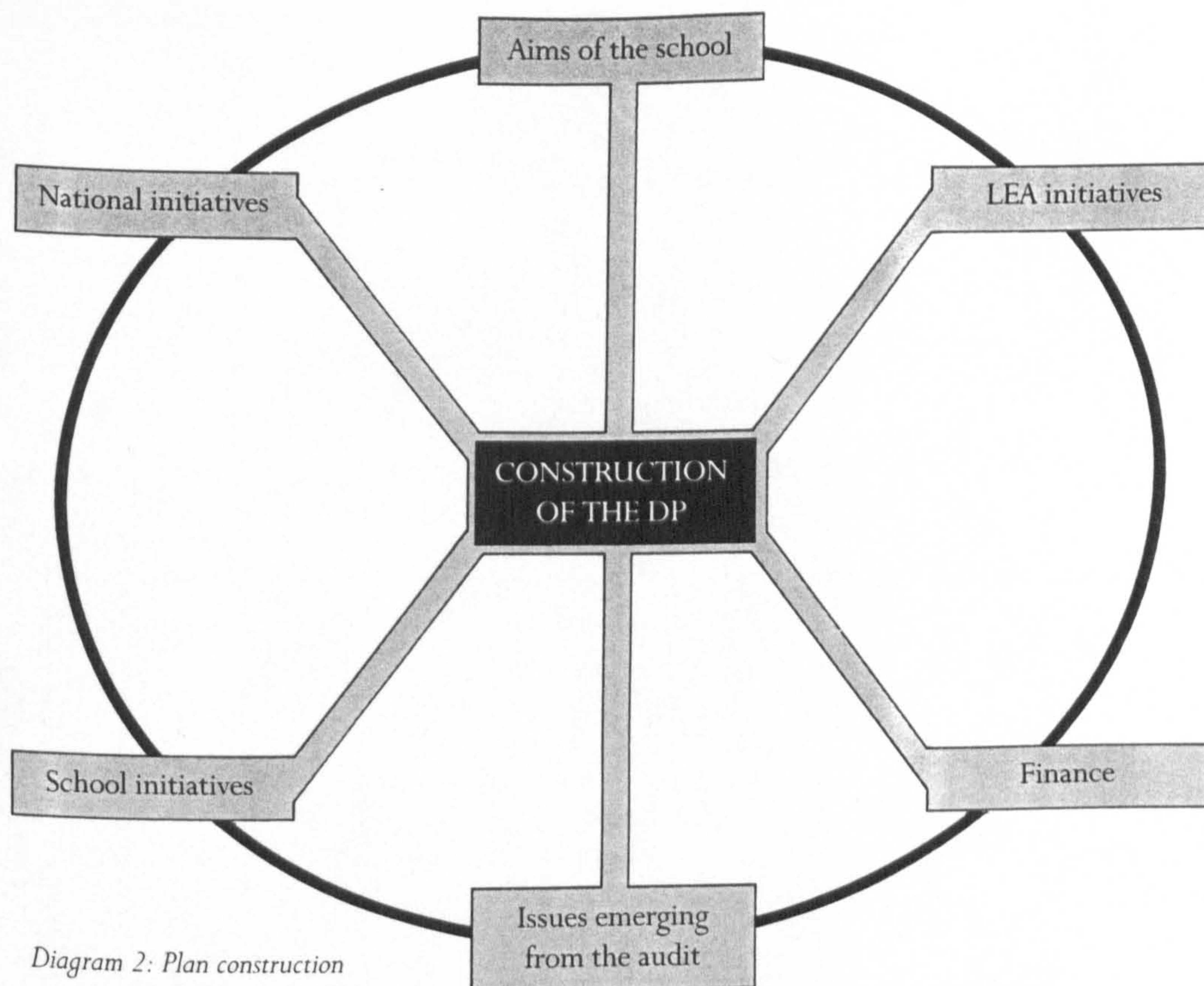


Diagram 2: Plan construction

## CONSTRUCTING AND AGREEING UPON THE PLAN

Plan construction is easier if, from the start, everyone understands how they can contribute. This means clarifying:

- the consultation procedures
- the assignment of roles and responsibilities
- the means of decision making.

In some schools new procedures for consultation and decision making may be needed. The task may, especially in larger schools, be undertaken by a group of staff chaired by the head or a group of teachers and governors. Whatever procedure is chosen, account should be taken of the views of all the staff. There is value in including the support staff and bodies such as a school council or a PTA in the consultation. LEA officers are an important source of advice.

Consultation needs to be seen by all those involved as a worthwhile process in which their views are taken seriously. It is unlikely that all the suggestions for priorities can be accommodated within the plan. The head should seek consensus.

The head will then present the emerging development plan to a meeting of the governors for discussion and approval.

The plan, of perhaps four to five pages, might include:

- the aims of the school
- the proposed priorities and their time-scale
- the justification of the priorities in the context of the school
- how the plan draws together different aspects of planning
- the methods of reporting outcomes
- the broad financial implications of the plan.

Many schools believe that they would profit from seeing examples of real development plans. This can be valuable, but there is no standard or 'model' development plan. Each school has its own history and culture from which its unique plan arises. LEAs give different advice on this matter and sometimes adopt pro-formas to help both schools and the LEA.



## PUBLICISING THE PLAN

There are advantages in making the development plan widely available. Some schools display the plan in the staff room. Informing parents through the school newsletter or through a small booklet is desirable. Explaining the priorities and targets to pupils encourages their active involvement.

## DRAWING UP ACTION PLANS: TARGETS, TASKS, SUCCESS CRITERIA

Once the plan is agreed, it needs to be turned into more detailed **action plans** with specific **targets** for the following year. These are the working documents for teachers. For example, the plan may have identified the following as priorities for the next year:

revising and improving the whole curriculum for a particular year group, taking account of the programmes of study and attainment targets of the National Curriculum

developing a whole-school assessment policy, including marking and recording

piloting a scheme for staff development and appraisal.

Turning such general priorities into action plans means working out *at this point* how to implement them and monitor the success in implementation. The priorities need to be turned into targets, which specify the **tasks** involved and who will be responsible for them. A target clarifies who is to do what and when. A target also provides a check on whether implementation of the priority has been effective. A target is both a guide to immediate action and a focus for later evaluation (see appendix for examples).

In practice, priorities can be broken down into a *series* of targets. In devising targets for the plan as a whole, the school should ensure that there are:

targets for the whole school, which involve a contribution from every member of staff

targets for teams of staff.

Every member of staff should contribute to at least one task; no one should be involved in too many tasks.

Some targets require no additional time but rather a change in routines and practices. Others require time for both preparation and execution, and this may involve some revision of existing use of time.

Targets must specify the criteria by which success in reaching each target can be judged at a later stage. These **success criteria**, which are a form of school-generated performance indicator, are the means for evaluating the plan, since they point to the evidence needed to judge successful implementation.

In short, the main components of development planning are priorities, targets, tasks and success criteria. These can be represented schematically as:

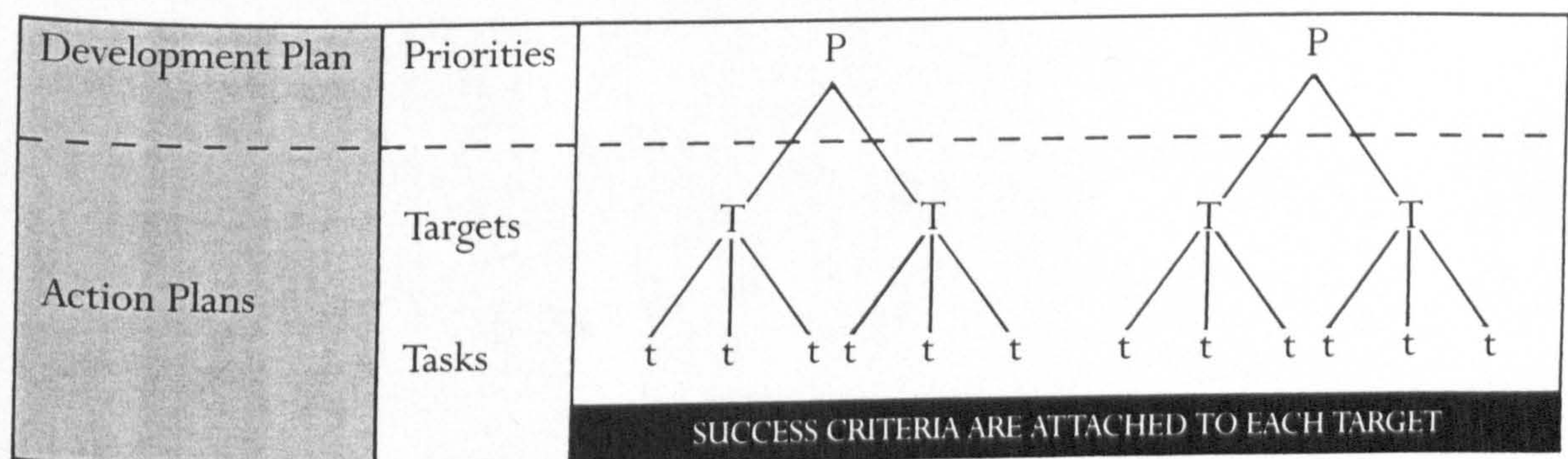


Diagram 3: The Plan and action plans



## THE DEVELOPMENT PLAN AND OTHER ASPECTS OF PLANNING

The development plan shapes **all** aspects of a school's planning and needs in turn to be influenced by them. We give advice on three aspects of planning – curriculum, INSET and finance – which need to be carefully linked with the action plans.

### CURRICULUM PLANNING

Some key issues for an annual curriculum plan are:

- meeting the statutory requirements of the Education Reform Act and the National Curriculum, including programmes of study and attainment targets
- using a curriculum audit to improve the curriculum as a whole (breadth, balance, differentiation and relevance)
- ensuring continuity and progression in the curriculum experienced by pupils
- modifying the curriculum for a particular year group as appropriate.

### INSET AND STAFF DEVELOPMENT PLANNING

Many priorities require active support for teachers in the form of in-service training and professional development. The school's INSET planning is thus an essential component of the plan. Action plans cannot be implemented properly unless they are carefully co-ordinated with the INSET planning. INSET co-ordination involves:

- working out the INSET implications of key issues emerging from the audit
- planning the INSET needed in relation to priorities and targets
- checking that the relevant INSET can be provided
- using INSET resources effectively where these have been delegated to the school by the LEA
- matching the needs of the school with the professional development of individual teachers
- ensuring that INSET opportunities are allocated fairly among the staff over time
- ensuring that knowledge and skills acquired through INSET are disseminated within the school
- evaluating the success of INSET in realising the development plan.

### FINANCIAL PLANNING

Under Local Management of Schools (LMS), many schools will become responsible for an increasing proportion of their own budget. The experience of preparing detailed budgets and managing income from various sources will be new for some schools.

Financial planning involves considering first the curriculum, management and organisational aims of the school. The detailed financial analysis generally takes account of past patterns of expenditure and reflects intended developments. The cost implications of priorities identified in the development plan should be seen as an integral part of the school's budget and feature in future expenditure plans.

Advice about financial planning is available to schools from several sources. Some key issues are:

- creating and maintaining a development budget as part of financial planning
- ensuring that the priorities and targets identified for development are managed within the total available budget
- resolving competing demands for scarce resources.



This last task is of great importance and may be advanced by:

using the audit phase to challenge assumptions about past patterns of expenditure and to identify anomalies in the deployment of resources

maintaining a record of actual expenditure on implementing development priorities to assist evaluation

relating the DP cycle to financial planning cycles

assigning to a senior member of staff the responsibility for co-ordinating management information and the financial plan.

### **CHECKPOINTS**

How and when are national and LEA policies and initiatives to be included?

Which issues arising from the audit are to be included and how do they relate to external initiatives?

Do the priorities further the fundamental aims of the school?

Who will be responsible for what during the construction phase?

Does everyone understand how the priorities will be decided?

Has each priority been turned into a set of targets?

Is there a team leader for every target?

Are there tasks for every teacher?

Are there clear success criteria for each target?

Have all possible sources of help and support to implement the plan been identified?

Does the development plan encompass other aspects of planning?

How will the knowledge and skills acquired by teachers through INSET be made available to other members of staff?



# MAKING THE PLAN WORK

## INTRODUCTION

It is easier to construct a development plan than to implement it. When the targets and success criteria are clear and specific, implementation and evaluation become easier. The targets and tasks establish what is to be done. The success criteria establish the basis for judging whether the targets have been met.

Many existing guidelines on school development planning describe implementation and evaluation as separate stages or phases. In some regards this is sensible: one cannot truly check on whether targets have been met until after implementation. The risk, however, is that schools may begin to ask themselves basic questions about evaluation late in their planning and so run into three problems:

evaluating progress becomes difficult because the preparatory groundwork has been neglected

the teachers find they have too little time to undertake evaluation

because it has been left too late evaluation cannot support implementation.

To help schools to avoid these problems, we treat the processes of implementation and evaluation as interlaced, not as a period of implementation followed by a "big bang" evaluation at the end. If implementation and evaluation are linked, evaluation can help to shape and guide the action plan rather than being a *post mortem* upon it. Different priorities and targets have different time-scales. Some last for part of the school year; others last for more than a year. So there is no single point in the school's calendar that is exclusively concerned with evaluation.

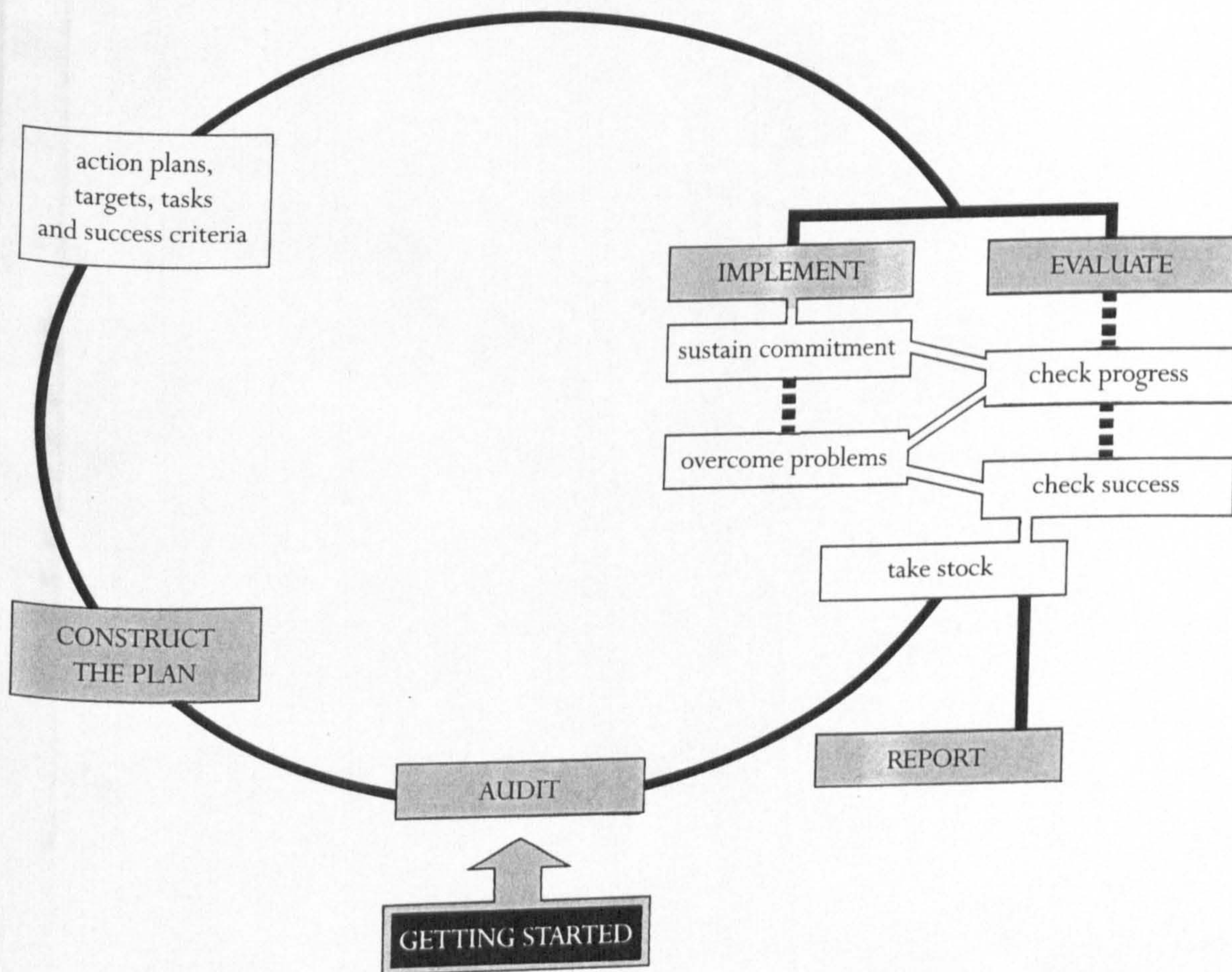


Diagram 4: The planning process



Making the plan work involves:

- sustaining commitment during implementation
- checking the progress of implementation
- overcoming any problems encountered
- checking the success of implementation
- taking stock
- reporting progress.

Diagram 4, on the facing page, which is an elaboration of diagram 1, illustrates this. The rest of this chapter explains the steps taken during implementation and evaluation.

## SUSTAINING COMMITMENT DURING IMPLEMENTATION

After the work of audit and construction, it is easy for the head and senior staff to assume that an action plan, once agreed, will somehow look after itself. Yet experience suggests that *implementation does not proceed on automatic pilot*.

Successful implementation needs continual support. Sustaining commitment is a key task for the head, senior staff and team leaders. The enthusiasm of even the most committed staff can flag when routine work and unanticipated events distract teachers from the targets and tasks.

Senior staff can boost motivation and so sustain commitment by:

### showing interest

An occasional, informal enquiry about progress to a teacher or team demonstrates that their efforts are being appreciated and provides an opportunity for reporting difficulties

### making themselves accessible

Many teachers are reluctant to encroach on the time of the head or senior staff, who need to make it clear that they are available for staff to talk through progress and problems

### joining meetings

Senior staff should occasionally join team meetings since they may be able to provide help, especially if outside assistance (eg from an LEA officer) is needed.

## CHECKING THE PROGRESS OF IMPLEMENTATION

A **progress check** is an act of evaluation *in the course of* implementation. It is a response to the question: how are we doing so far? Many progress checks are intuitive, a 'feel' for whether things are going well or badly. This is a natural part of monitoring one's activities: it becomes more systematic if these intuitive reactions are shared within the team.

At least once a term progress should be formally checked for each task against the success criteria associated with the target. The team will need some clear *evidence* of the extent of progress: if such evidence is recorded, the work load at a later stage will be reduced.

Regular **progress checks** involve:

- giving somebody in the team responsibility for ensuring that the progress checks take place
- reviewing progress at team meetings, especially when taking the next step forward or making decisions about future directions
- deciding what will count as evidence of progress in relation to the success criteria
- finding quick methods of collecting evidence from different sources
- recording the evidence and conclusions for later use.



## OVERCOMING ANY PROBLEMS ENCOUNTERED

Some progress checks may show that:

- the time schedules were too tight

- circumstances have changed since the plan was constructed and unexpected obstacles have been encountered

- there is a loss of direction and some mid-course correction is required for the target to be met.

Implementing the action plan can be a hazardous journey – a bit like snakes and ladders. Progress proceeds in fits and starts. Progress checks provide a pause when re-orientation can take place. What may appear to be a major set-back eg the loss of a senior or key member of staff, can often be overcome. Useful strategies include:

- providing extra support to the affected team

- re-assigning roles and responsibilities within the team

- drawing upon the skills and experience of new members of staff

- seeking additional outside help

- 'freezing' temporarily part of the action plan, thus making sure no ground is lost whilst awaiting better circumstances

- modifying the projected time-scale

- scaling down the planned action to more manageable proportions

- postponing a target to a later year and bringing forward a substitute target.

Circumstances may also change for the better and advantage can be taken of unforeseen opportunities to advance the rate of progress.

## CHECKING THE SUCCESS OF IMPLEMENTATION

**Success checks** take place at the end of the developmental work on a target. The team now decides how successful the implementation of the target or priority as a whole has been. Checking success need not be complex or time-consuming. It will consist largely in collating, and then drawing a conclusion about, the earlier progress checks.

A **success check** means:

- giving somebody responsibility for collating the progress checks

- allowing time for the team to discuss and analyse the extent of the success

- noting changes in practice as a result of the plan

- writing a brief report on target implementation

- collating the reports on each of the targets to create a final report on the priority as a whole with indications of what helped and what hindered progress

- working out the implications for future work

- assessing the implications for all those not involved in the implementation and for the school as a whole.



## TAKING STOCK

This takes place at the end of each planning cycle. In essence, taking stock is a collation and brief analysis of reports on each of the priorities. This is the most formal evaluation activity of the school year and should be co-ordinated by a senior member of staff.

The purpose of **taking stock** is to:

- examine the success of the implementation of the plan
- assess the extent to which the school's aims have been furthered
- assess the impact of the plan on pupils' learning and achievement
- decide how to disseminate successful new practices throughout the school
- make the process of reporting easier.

Staff discuss the report arising from taking stock and so prepare the ground for the following year's plan, taking account of:

- the original outline of priorities for the second and third years
- lessons learnt from the implementation of the first year's priorities
- changes in national and LEA initiatives, policies and resource provision
- the changing needs and circumstances of the school.

Taking stock thus prepares the way for a 'mini-audit'. A 'full audit' is more appropriate every three or four years.

## REPORTING PROGRESS

Taking stock provides the basis on which the head can make an annual progress report to the governing body.

**Governors** will know about the outcomes of the plan through their visits to the school and through the head's regular reports.

**Parents** may be informed at the annual parents' meeting, through a newsletter, or at an open day.

Reporting to **pupils** should not be forgotten. They play an active role in implementing the plan and have an interest in the outcomes.

### CHECKPOINTS

- How do the senior staff actively support implementation?
- Have progress checks been carried out for each target?
- How do the results of progress checks help to overcome problems?
- Who is responsible for success checks?
- How does taking stock aid the construction of next year's plan?
- Do the reporting procedures include all those involved and interested?



# APPENDIX

## A CASE STUDY

This case study illustrates one school's experience in development planning for *one* of four priorities.

### CARRYING OUT A SCHOOL AUDIT (THE PROCESS OF REVIEW)

Some teachers at Cheadledown School had become concerned about pupils' performance in reading, based upon their experience of first year pupils in particular. The head had also received a number of complaints from parents about their children's reading level. The governors and staff therefore decided to focus part of the audit upon these concerns. They assembled evidence through:

- the reading performance of pupils
- a short questionnaire to staff about their professional judgment on pupils' reading skills and progress
- the report of the school's inspector including a comparison of pupils' achievement in reading with LEA norms
- the views of parents at a language workshop.

The evidence supported the original concerns and indicated that they were not confined to first year pupils. Reading was therefore identified as a strong candidate for a development plan priority.

### DRAWING UP THE PLAN (THE PROCESS OF CONSTRUCTION)

The decision to propose the improvement of pupils' reading abilities as one of four priorities for development appeared to the staff to emerge naturally from the findings of the audit and from the requirement to introduce the National Curriculum in English, and in particular the attainment targets in reading. The governors approved this recommendation.

Once the priority had been agreed, a small group led by the deputy head was given responsibility for turning the priority into targets as part of the action plan. This was more difficult than it appeared. One team member wished to focus on the school environment for promoting reading development, whilst another was more concerned with the methods and schemes for reading currently adopted in the school. Evidence from the audit supported both points of view. After discussion with the school's inspector it was agreed that care should be taken to set the targets on reading within the wider context of language development, including writing, speaking and listening.

Here is a **summary** extract from the action plan as finally agreed by the team.

#### TARGET 1

to undertake a more detailed review of pupil reading in selected classrooms  
(time-scale: 1 term)

#### TARGET 2

to increase pupils' wider use of books  
(time-scale: 1 year)

The team found it easy to generate a list of possible tasks but more difficult to decide upon a selection that would be manageable in practice.

#### TASKS FOR TARGET 1

- teachers 'shadow' pupils to discover the range and purpose of reading required, and the support provided
- a check on resources for reading provided, and actually used, in classrooms
- a check on, and action to increase, the extent to which support staff and parents are involved in reading development

#### TASKS FOR TARGET 2

- inspect book stock for relevance and appropriateness to the school's pupils
- remove inappropriate volumes and order new books
- check and improve quality of environment to support reading and improve display
- arrange events eg book weeks and readings by authors



Members of the team were given responsibility for particular tasks. The INSET implications were discussed with the INSET co-ordinator, and led to the following items in the school's INSET plan.

#### INSET FOR TARGET 1

- (i) cover and meetings for the pupil shadowing team
- (ii) National Curriculum programmes of study and attainment targets in English as part of a training day

The team had originally thought it would be difficult to design "success criteria". In the event it proved easier than expected, because they realised that most teachers were already using evidence of one kind or another, albeit in a less systematic way.

#### INSET FOR TARGET 2

- (i) part of a training day to raise awareness of issues and devise the special events

#### SUCCESS CRITERIA FOR TARGET 1

- (i) the production of a written report on the tasks for consideration by staff
- (ii) improvement in staff understanding of range and purpose of reading; support needed by pupils; effective use of resources
- (iii) improving staff knowledge about and confidence with relevant programmes of study and attainment targets as an outcome of the INSET day
- (iv) increased involvement of support staff and parents in pupils' reading development

#### SUCCESS CRITERIA FOR TARGET 2

- (i) inspector judgment on improvement in book stock
- (ii) judgment of head on improvement in environment
- (iii) increase in book use and borrowing
- (iv) pupils' perceptions of and response to special events

### MAKING THE PLAN WORK (THE PROCESS OF IMPLEMENTATION AND EVALUATION)

A member of the team, the language co-ordinator, was ill for a prolonged period. As a result, the special events were postponed to the following year; the other two members of the team took on some of his work; and the head provided support through some additional supply.

As part of the action plan, the team decided to formulate some questions to help them to check progress on each task. Informal discussions within the team worked well, so they dispensed with some of the formal meetings to review progress. It came as a surprise to discover at the end of term that the task of checking and increasing support staff and parental involvement in reading development was barely under way. The team decided, with the head's support, to extend this task into the next term and reinstated formal progress check meetings. Work on the tasks of Target 1 was complete by half-term in the spring. On the basis of the success checks the team wrote a report to staff and this included the following issues:

uneven distribution of reading resources and some confusion about purpose

too little use of drama and poetry in reading development

greater confidence among staff in their understanding of the place of reading in language development and of the National Curriculum for English

a modest improvement in enlisting the assistance of parents and support staff.

The report included a recommendation for the extension of the target into a second year.

By the yearly stocktaking, the three tasks of Target 2 (apart from the one deferred) had been completed and the success criteria met. Staff welcomed the changes in the book stock and the improvements in the school environment to support reading. The increased borrowing of books by pupils was pleasing. In her report on the four priorities to the governors, the head spoke of the significant progress made on the priority to improve reading. Both the extension of Target 1 and the deferred special events of Target 2 were eventually incorporated into the following year's plan which also included more specific action to raise levels of reading achievement of pupils in all classes. In the light of the importance governors assigned to reading development, it was agreed to continue to monitor the improvement in pupils' reading levels and use of books.



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**Paul Robinson**, who also worked with the project on a part-time basis, was an education officer in Cambridgeshire LEA, and is now an education officer in Essex LEA.



**Paper 8**

**LEASK, M. (1989b)**

**Planning for School Development:  
A note from the School Development Plans Project team to Local  
Education Authorities**

**Leask, M. in Hargreaves, D.H., Hopkins, D. and Leask, M.**  
*Unpublished paper, School Development Plans Project, Department  
of Education/Institute of Education, Cambridge*

# SCHOOL DEVELOPMENT PLANS

*A Research Project funded by the Department of Education and Science*

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## PLANNING FOR SCHOOL DEVELOPMENT

**A note from the project team to Local Education Authorities**

The DES has commissioned the booklet Planning for School Development: advice to governors, headteachers and teachers and proposes to issue it to schools, through LEAs, in the near future. This note draws to the attention of LEAs some of the implications for them of the booklet, a typescript copy of which is attached. The booklet should be read in conjunction with this note. There are five main issues for LEAs to consider in relation to the booklet. They are:

- establishing an LEA policy or perspective on school development planning in general, and on the booklet in particular
- providing LEA advice to their schools on development planning
- preparing LEA officers\*, the staff of schools and governors for development planning
- providing LEA support for the construction, implementation and evaluation of development plans
- relating school development plans to LEA monitoring and evaluation.

The booklet is intended to help LEAs, governors, heads and teachers with school development planning. It is important to emphasize that where the LEA has already published guidelines on school development plans the booklet is intended to complement LEA guidance or requirements.

### Establishing the LEA policy or perspective on development planning

Irrespective of whether or not the LEA has adopted a policy on school development planning and issued guidelines to schools, it is suggested that separate advice be issued to schools on how to use the booklet. Schools will benefit if the LEA explains how the booklet can best be used to support and complement existing LEA policy and practice. In other cases, the booklet may assist the LEA by making unnecessary the provision of equivalent detailed advice: but the booklet may still need to be supplemented by LEA advice, for example on planning cycles and on specific ways in which the LEA might wish to be involved in school development planning.

\* officers includes inspectors and advisers



The project team has encountered considerable confusion in some schools between school development plans and National Curriculum development plans. Related concepts, such as the school management plan in CIPFA's advice on LMS, are beginning to appear. LEAs may wish to take the opportunity of clarifying the terminology for governors and heads when they issue their advice.

Where there is no established LEA policy on school development plans, but the LEA wishes to encourage use of the booklet, it is suggested that the LEA might hold conferences and meetings for officers, for headteachers and senior staff, and for governors to create a shared understanding of the purposes and value of school development plans, since such an approach helps to generate the commitment needed for successful outcomes.

## **Providing LEA advice on school development planning**

LEA advice/guidelines aid the planning process when the LEA expectations of the purpose and use of the plan are made clear. Included in the advice might be:

- how development plans relate to both national and LEA policies and initiatives, and the links between them
- the relation of development plans to LEA procedures for monitoring and evaluation
- the implications of development planning for advisory and in-service support
- the LEA's expectations with regard to planning cycles
- the roles and responsibilities of governors, heads, teachers, LEA officers, and others in development planning
- the format of the plan
- specific advice in relation to schools in different phases
- the use the LEA intends to make of development plans
- the relation between LEA and school planning cycles.

Some LEAs require schools to submit plans to the LEA and provide forms to be completed by the headteacher; others do not. For this reason the booklet gives relatively little advice on the format of school development plans to avoid potential conflict with LEA requirements. The booklet is addressed to all schools, irrespective of size or phase; LEAs may wish to be more specific in their advice to primary, secondary and special schools.

Where LEAs require heads to submit the plan (whether or not in a prescribed format), it is helpful to make clear to schools what use they intend to make of them, for instance in relation to the identification of INSET needs and provision. If LEAs intend to make judgements on the quality of the plans, heads will find it of practical value to be aware in advance of the criteria of such judgements. Schools usually like to know who will have access to the plans within the LEA. It has been shown to be helpful if an LEA officer makes a personal response to, and commentary upon, the submitted plan, and time needs to be allowed for this.

Some LEAs have phased in development plans over a period of time.

## **Preparing for school development planning**

Care taken by the LEA in preparing all those involved in school development planning is worth the effort. Officers need to be committed to the concept and may need in-service training if they are to be enabled to offer the support and advice they will undoubtedly be asked by schools to provide. Their roles and responsibilities need to be clear to avoid confusion among themselves or in their relationships with schools. They must have a clear grasp of the LEA's policy towards development planning and how this relates to the rest of their work with schools.

Of the utmost importance is the preparation of heads and senior staff. Some LEAs have provided in-service support in the form of small conferences and workshops which bring together teams of two or three senior staff (always including the head, and if possible with the school's adviser/inspector) to discuss development planning, to examine any advice documents, and to engage in practical activities. The best in-service support seems to consist of a series of such meetings, with the option of on-site consultancy by an LEA officer between meetings. It is important to ensure that in all such meetings some heads with a known enthusiasm for school development planning be included. When the head and some senior staff have developed an understanding of and commitment to development planning, the task of preparing the rest of the staff is greatly facilitated and the sense of external pressure or imposition thereby reduced.



School development planning is relevant to the training provided for governors. It is hoped that the booklet will itself make a significant contribution in this regard. LEAs should recognise the potential for confusion and conflict over the roles and responsibilities of governors, heads and teachers in relation to school development planning. The booklet gives more salience to governors than do many existing LEA guidelines because of the recent changes in their roles and responsibilities. The LEA may need to give advice and support to governors and heads in the light of their changing relationships.

## **Providing LEA support**

Officers have much to contribute to successful school development planning in all the processes - audit, construction, implementation and evaluation - as indicated at various points in the booklet. In particular, they can contribute to the identification of strengths and weaknesses during the audit; to the selection of appropriate and realistic priorities and targets during plan construction; to the provision of in-service training and other forms of support during implementation; and to the evaluation of the implementation, an area in which many schools have little experience.

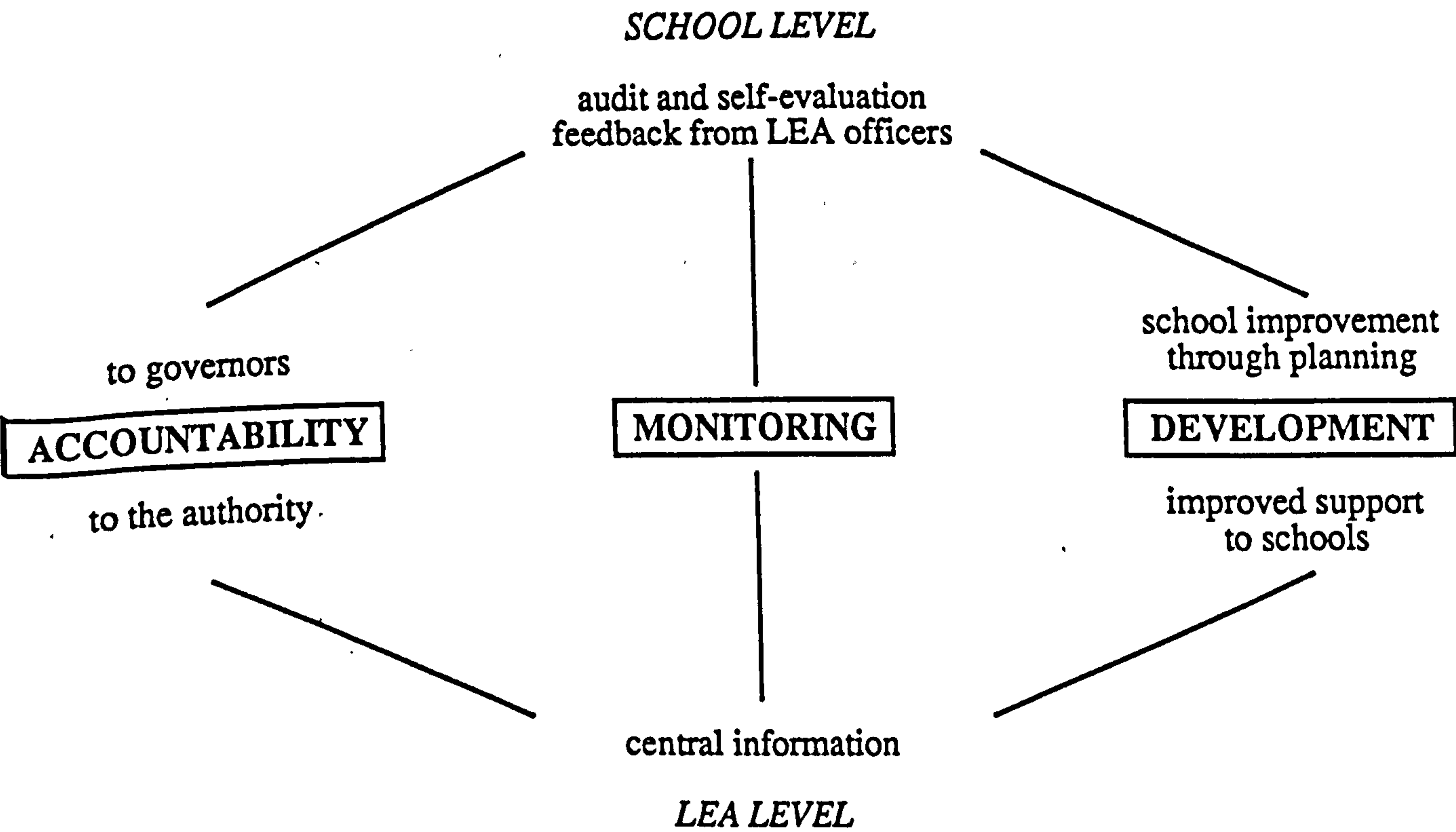
As schools formulate their priorities and targets, they will identify INSET requirements to support implementation of the plan. For many schools this will lead to an improvement of INSET planning. Yet it may not be easy for LEAs to respond fully to the scale or variety of INSET sought by schools. It is helpful for schools to know as soon as possible how LEA provision of INSET is constrained (eg by LEATGS national priorities) since this may influence the selection of development priorities. There should be a clear understanding between the LEA and heads of the means and time-scales for the effective co-ordination of INSET planning and provision. School development planning can enhance the identification of INSET needs, assist the LEA in the identification of local priorities and improve the quality of the evaluation of the INSET provided.

From the schools' point of view, a virtue of development planning is that different aspects of planning become more integrated. As heads acquire skills in this, they come to expect a similar integration in the work of the LEA. Some heads have reported to the project team that the LEA does not always appear to have a clear and explicit development plan of its own. The partnership between schools and LEAs is enhanced where LEA demands from schools for different kinds of information, and LEA support to schools through officers with different kinds of responsibility and expertise, are carefully co-ordinated to help schools manage their planning at a time of considerable change.

Relating school development plans to LEA monitoring and evaluation

Development plans have enormous potential for contributing to the LEA's task of monitoring and evaluation. In effective development planning a considerable amount of self-evaluation by schools is involved in the processes of audit and evaluation. LEA officers can combine their task of monitoring with the school's own activities in a spirit of partnership, which both eases the LEA task of monitoring and enhances the skills of the staff in such monitoring and reporting. The development of performance indicators of various kinds can be assisted within this partnership. At the same time, LEA officers will recognize the tensions, at both LEA and school levels, between accountability and development. As the diagram below indicates, improved monitoring at both levels can assist accountability and development. Schools may need support from LEA officers to understand fully how school development planning brings accountability and development into a mutually beneficial relationship. The diagram below illustrates how monitoring and evaluation relates to both accountability and development: the tasks are common to both schools and LEAs which have a complementary or "mirror image" relationship in the process.

THE MONITORING AND EVALUATION DIAMOND



The members of the project team would welcome any comments from LEAs on the booklet or on this note of advice. This would be of considerable value to the team in their preparation of further advice.

November 1989



**Paper 9**

**LEASK, M. (1990)**

**The Management of Development Planning:  
a paper for Local Education Authorities**

**Leask, M. in Hargreaves, D.H., Hopkins, D. and Leask, M.**  
*Unpublished paper, School Development Plans Project, Department  
of Education/Institute of Education, Cambridge*

# SCHOOL DEVELOPMENT PLANS

A Research Project funded by the Department of Education and Science

## THE MANAGEMENT OF DEVELOPMENT PLANNING

A PAPER FOR LOCAL EDUCATION AUTHORITIES

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April 1990



Comments on this paper or on the project should be sent to:

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## PREFACE

The project's first booklet *Planning for School Development: advice to Governors, Headteachers and Teachers* was published by the Department of Education and Science in December 1989. It is expected that the DES will publish the project's final report as a second booklet (provisionally entitled *Development Planning in Action*) in Autumn 1990.

This paper aims to help LEAs as they develop their policies and strategies for development planning. Some LEAs have much more substantial experience of development planning than others. The paper is written with LEAs with least experience in mind, on the assumption that more experienced LEAs will draw very selectively from the paper in the light of their own circumstances.

Chief Education Officers are free to use this paper, in whole or in part, as they think appropriate:

- as a note to senior officers and advisers/inspectors;
- as an item for discussion at relevant meetings;
- as a resource for INSET/discussion for LEA officers and/or heads and senior staff.

April 1990



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## SECTION 1 INTRODUCTION

Understanding school development planning seems to pass through three stages.

- (1) A focus on the School Development Plan as an overall or comprehensive plan in the form of a document, which is probably supported by a range of other documents. For many schools their first reaction to school development planning is to ask for examples or models of the plan as a document, rather than guidance on the process of planning.
- (2) A recognition that the process of school development planning, that is, the activities of constructing, implementing and evaluating a plan, are more important than the product, the plan as a document. The plan is no more than a statement of intentions: it is the quality of the process which determines the outcomes of planning.
- (3) A realisation that the management of planning is the key to successful development planning. This may require an appraisal of, and changes to, the school's existing management arrangements (such as the allocation of roles and responsibilities, procedures for consultation and decision making), as well as changes in how the LEA supports development planning. At this stage both school and the LEA are fully aware that development planning is not simply one more initiative or just another innovation, but rather a special kind of innovation whose main purpose is to help schools to manage and implement other innovations within the context of the everyday work of the school. Development planning is about creating the conditions in which other innovations can flourish and be successfully implemented in the interests of school improvement.

Several consequences follow from this. Development planning is perceived to be more important than originally thought by either schools or LEAs, since if development planning enables schools, in a general sense, to manage change, then it must have a central place in the work of schools and the LEA.

Strategies for development must be designed to have the maximum chance of success; and difficulties in development planning must be carefully monitored by the LEA which may then need to take action. In some schools, where the conditions to support innovation already exist, development planning will be easily introduced and will enhance the school's capacity to manage change. In schools where these conditions do not exist, the chances of succeeding with development are lower since the conditions themselves need to be changed as an inherent part of the process of development planning. It is not merely that (yet) another innovation fails: it is that the school's capacity for all future innovation may well be further weakened by its initial lack of success with development planning. LEA support may be particularly needed in these schools.



The first booklet, *Planning for School Development*, was mainly concerned with the first two stages. This paper gives attention to the third stage.

- Section 2 describes our general approach to the management of planning.
- Section 3 offers some issues LEAs may wish to consider to promote their partnership with schools in development planning, including the notion that LEAs should have their own development plan.
- Section 4 describes an approach to assist schools and LEAs in diagnosing the difficulties some schools experience with development planning.
- Finally, Section 5 makes some suggestions about how LEAs might assist such schools with development planning.

## SECTION 2 THE MANAGEMENT OF PLANNING

Although there is potential for confusion between the terms management plan and development plan, in practice they are usually synonymous. The difference is perhaps largely one of focus, either on the management of innovation and change or on the developments which constitute the innovation and change. There is a related confusion between the plan, or a document, and planning, or the process.

The management of planning is a useful term to link all these concepts. School development requires a plan which is the documentary outcome of the process of planning that needs to be managed. Schools already have a set of management arrangements (see diagram 1) - a system of allocating roles and responsibilities and of establishing procedures - by which planning of the school's activities and commitments, including finance and resources, curriculum, and staffing, takes place. These arrangements vary in quality between schools and in some need to be improved.

At the present time schools need management arrangements which enable the school both to maintain much of its work in the interests of stability and continuity (maintenance) and at the same time to develop itself through the implementation of a variety of innovations (development). Even when the arrangements effectively support maintenance, they may well not be designed to support the planning of new developments. The introduction of the National Curriculum and LMS means that the management arrangements may themselves need to be reviewed and then changed if a school is to plan its curriculum and finances effectively. The management arrangements may thus also be a focus of innovation which has to be planned and managed.

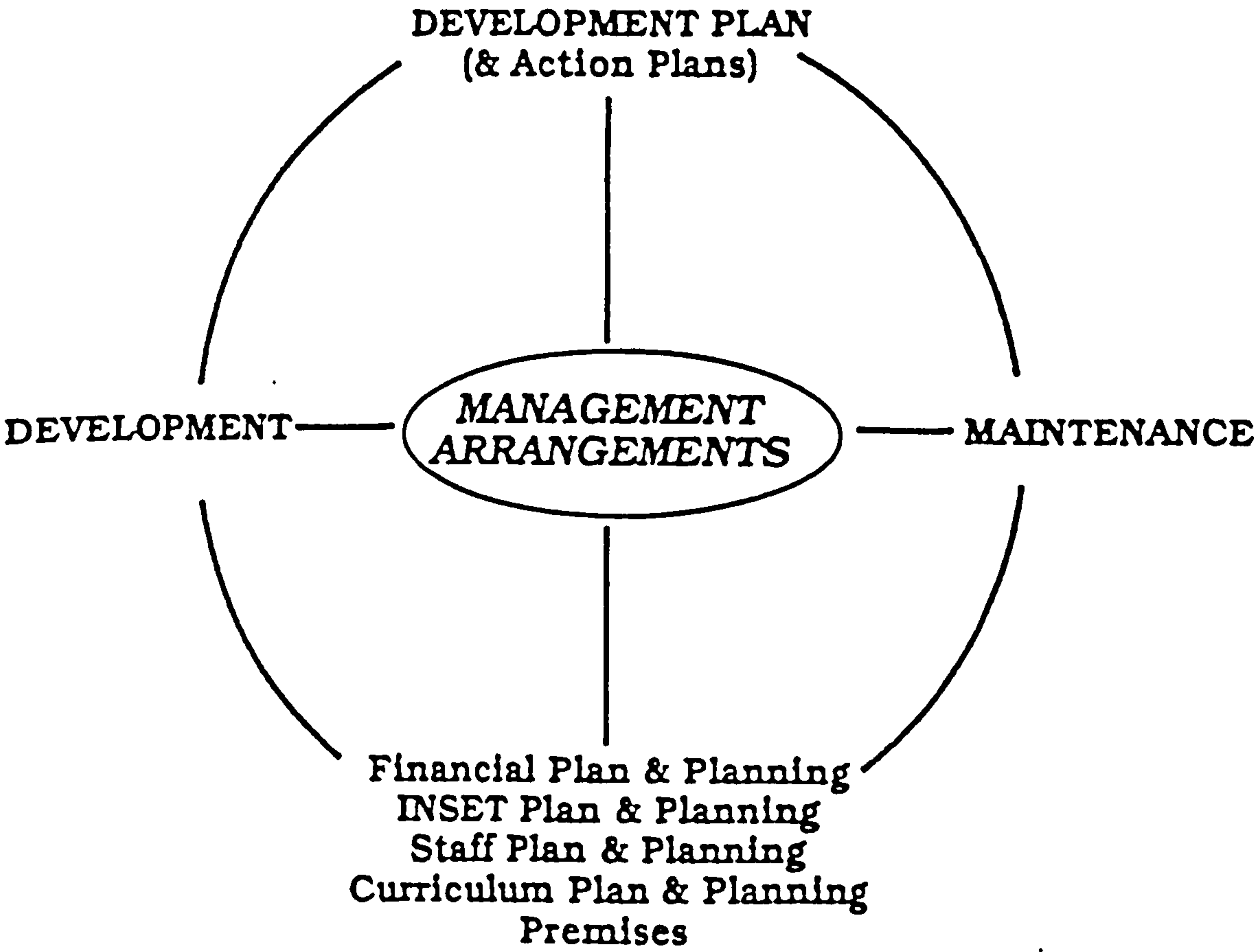
Sound management arrangements enable the integration and co-ordination of the various plans and planning processes in a way that sustains both maintenance and development. The development plan represents the school's response to the demands for change and turns them into priorities expressed as action plans. Effective implementation of these action plans depends upon the quality of the management arrangements. All new developments need to be consolidated: today's development becomes tomorrow's maintenance. Management arrangements must therefore be effective for both development and maintenance activities.

*Planning for School Development* concentrates on development planning and the action plans designed to implement selected priorities for change. It therefore focuses on the upper left segment of the diagram. Specialist advice on the elements which form the foundation of planning (eg finance, curriculum and staffing) is available from other sources, such as the LMS Initiative. There is a need to link school development to school maintenance and to explore how management arrangements can sustain both, even though there may be a tension between development and maintenance.



A school's management arrangements are inevitably affected by the relationship between schools and the LEA. This paper explores the LEA-school relationship with regard to the management of development planning in the interests of improving the partnership to their mutual benefit. It also considers particular difficulties which schools experience in development planning and its management and suggests forms of partnership between schools and the LEA that enable both to carry out their respective responsibilities in the interests of school improvement and the achievement of pupils.

DIAGRAM 1  
THE MANAGEMENT OF PLANNING



## SECTION 3 PARTNERSHIP BETWEEN THE LEA AND SCHOOLS

Most schools are at a relatively early stage in development planning and its management and look to LEA officers<sup>1</sup> to provide guidance and support. This is a considerable task for officers since they are, at the same time, having to respond to the ERA and, in particular, dealing with three urgent issues.

- (1) They are under pressure to provide support and guidance on a wide range of very specific innovations which schools need to implement according to a tight and relatively inflexible time scale eg the subjects of the National Curriculum and new modes of assessment, the introduction of LMS. This is stretching the education department and especially the advisory service which may find it difficult to meet the range and extent of demands being made upon it.
- (2) At the same time, officers are working out their new relationships with elected members on the one hand and governing bodies and schools on the other.
- (3) An additional task is the construction of a strategy for monitoring and evaluation, often from the basis of an advisory service with little experience of inspectorial work. This may create problems both for the advisers and for headteachers, who are often unenthusiastic about the change towards inspectorial functions. A strategy for monitoring and evaluation will also involve changed relationships between education officers and advisers/inspectors.

The approach taken by the LEA to development planning is likely to be a major factor affecting the success of schools in development planning and its own success in responding to the ERA. The issues and questions listed below are designed to help officers to formulate or review the policy and strategy for development planning. Because of the considerable pressure upon them, many officers have had little opportunity to share ideas on development planning with other LEAs, have devised their policy and strategy very quickly to provide guidance for schools, and have had few opportunities to take stock.

On the basis of work so far, there appear to be 7 issues for officers to consider.

- (i) The determination of the LEA policy towards development planning

There are considerable variations between LEAs in the policies adopted towards development planning and development plans.

Among the important issues are:

- (a) how was the LEA's policy determined? What consultation was involved and with whom?

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<sup>1</sup>Unless otherwise indicated, the term "officers" includes inspectors/advisers



- (b) has the LEA's policy been clearly communicated and justified? Does everyone involved understand the reason for particular policy decisions (eg whether development planning is obligatory or voluntary, the time scale allowed for preparation/submission of development plans)? Who is responsible for the communication of the policy and for monitoring the effectiveness of the communication?
- (c) do the officers fully explain the benefits of development planning both for schools and for the LEA? Is the relation of the policy to other LEA policies clear to all?
- (d) what commitment is there among the elected members, officers, governors, heads, teachers, parents to the LEA policy and how might the commitment be improved?
- (e) is the officers' role in development planning as clear as the policy?

(ii) The LEA's conception of school development planning

There is, as we have seen, a common confusion between product (school development plans as documents) and process (school development planning as activities). Officers often take the view that the latter is more important than the former. LEA documentation (eg guidelines), however, often gives the impression that they are more concerned with product than process.

There is also variation in the terminology adopted. Development plans, management plans, school plans, school development plans, institutional development plans are all in use and, so far as we can tell, mean much the same thing. When schools see different terms as meaning different or separate plans, there is a danger of confusion and discouragement. It is helpful if the officers clarify their own use of the various terms to ensure a degree of consistency within the LEA.

(iii) The LEA's development plan

Some LEAs have and others are preparing an LEA development plan. This is in part because they, like schools, are responding to innovations and changes which have to be planned and managed, and in part because an LEA development plan establishes a 'fit' between LEA policies and plans and those of schools, thus enhancing the partnership between officers and schools.

Among issues to be considered are:

- (a) the construction and communication of the LEA development plan and the roles of members, officers and schools (governors, heads) in this task;
- (b) the aims of the LEA development plan;
- (c) the way in which the priorities of the LEA development plan are selected and turned into action plans;

- (d) the relationship between the LEA's priorities, action plans and "success criteria"/performance indicators and those of the schools, and the extent to which they complement and support one another (see Diagram 2).

#### (iv) Integration and co-ordination of development plans

When there is an LEA development plan, the task of integration and co-ordination of the work of the officers and of the schools is made much easier. Even when the LEA does not have a development plan, some attention to planning cycles will help schools with their development planning (see annex for details).

- (a) How are the planning cycles of the LEA related to the planning cycles of the schools? Are schools expected to adapt their planning cycles to those of the LEA or has the LEA adjusted its own planning cycles where possible to help the schools?
- (b) What is the impact of (a) on the relationships between branches of the LEA, their co-ordination with one another and with schools.

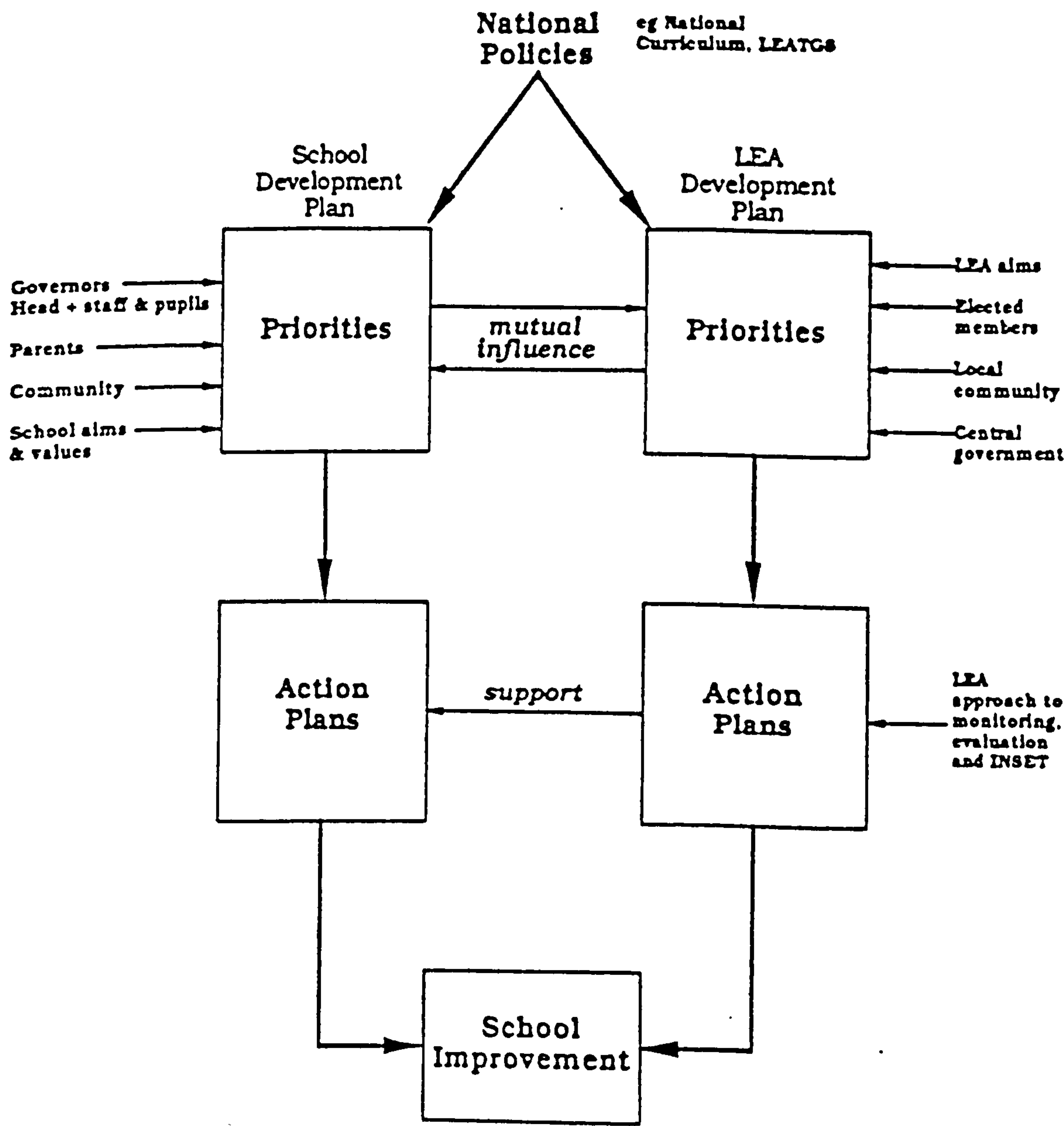
#### (v) LEA use of development plans

LEAs frequently ask schools to submit their plans and/or documents linked with development plans and/or proformas provided by the LEA.

- (a) Does the LEA have good reasons for requiring schools to submit their plans in a particular form and at a particular time?
- (b) Is it also clear to schools why this information is required, how it helps the LEA and/or the school, and how the information is used?
- (c) Do the schools know that it has been used in the ways intended? Are they aware of the benefits of such use? What are the consequences if the plans are not used by the LEA as intended?
- (d) Do officers provide 'feedback' to schools on their development plans?
- (e) Do officers have a role in encouraging collaboration between schools in development planning?



DIAGRAM 2  
SCHOOL AND LEA DEVELOPMENT PLANS



**(vi) The LEA support system for development planning**

Among the important issues here are:

**(a) the form of the support provided:**

- personal visits to schools by officers
- guidelines
- courses/INSET specifically directed to development planning
- a "permeation" approach in which issues in development planning form part of a wide range of INSET
- advisory teachers with special expertise in development planning
- courses provided by institutions of Higher Education.

(Officers are likely to need their own INSET if they are to develop the skills to support schools effectively.)

**(b) the difference in the kind of support needed by schools:**

- when 'getting started'
- during the stages of development planning
- after the first cycle.

**(c) the difference in the kind of support needed by:**

- governors
- heads and teaching staff
- support staff.

**(vii) The relationship between monitoring and evaluation and development planning**

Development planning requires careful attention by schools to the ways in which they monitor and evaluate their own activities and the innovations they implement. LEAs have particular responsibilities for monitoring and evaluation following the ERA. In some cases, the LEA will need to add inspectorial functions to the work of the advisory service. In all LEAs there will be new forms of monitoring and evaluation, for example of financial delegation, which will involve education officers as well as advisers/inspectors.

Among the issues involved are:

- (a) clarifying for schools the enhanced role of the officers in monitoring and evaluation and the forms it will take;



- (b) making adjustments in the roles, relationships and responsibilities of education officers and advisers/inspectors to exercise the functions of monitoring and evaluation;
- (c) establishing an understanding of the relationship between the monitoring and evaluation carried out by officers (of all kinds) and the self-monitoring and self-evaluation activities conducted by schools themselves;
- (d) clarifying, wherever possible, the basis of visits to schools by officers, whether to monitor/evaluate or to advise/support;
- (e) deciding the extent to which the LEA may use monitoring and evaluation data generated by schools as part of its own monitoring and evaluation activities and the extent to which additional or independent monitoring and evaluation may be undertaken by officers;
- (f) using all the data generated by the various forms of monitoring and evaluation both to support development planning by schools and to shape the LEA's own development plan.

In LEAs where there has been an advisory service with little or no inspectorial function, officers are likely to need training in the collection and interpretation of evidence about schools. When officers have a high level of skill in monitoring and evaluation, an important task for them is to train heads and teachers in these skills. This both helps schools to be more effective in development planning and makes monitoring and evaluation a shared responsibility between schools and LEA, which ensures 'quality assurance'.

\* \* \* \* \*

The way in which the LEA responds to these 7 issues affects the quality of the partnership between the LEA and schools in development planning, the schools' perceptions of the LEA, and the capacity of schools to be successful in development planning and the management of innovation and change. At this stage it is not possible to say that particular ways of responding to the 7 issues have been clearly shown to be more effective than others. We have developed these 7 issues from the 'good practice' we have observed and from LEA responses which have led to unintended consequences which can probably be avoided.

## SECTION 4    DIAGNOSING DIFFICULTIES WITH DEVELOPMENT PLANNING IN SCHOOLS

*Planning for School Development*, like most LEA guidelines on school development plans, consists of a recipe of advice which, if followed sensibly and creatively, should help a school to achieve its aims and manage change successfully.

In practice, some schools respond to the advice as intended, and find the advice helpful and relatively easy to put into effect. Other schools cannot or do not respond as expected; and yet, from the LEA's point of view, it is often precisely these schools which are in greatest need of this advice. The consequence is that the gap between the most and least effective schools tends to widen.

Why does this state of affairs arise and what can the officers do about it? It is evident that some schools are not in a state or condition to respond effectively and positively to advice on school development planning. There is a need to clarify this problem and to explore ways in which it might be overcome.

Schools face a double problem. The first, and more obvious one, is that schools cannot remain as they now are if they are to implement recent reforms, especially those of the National Curriculum and new modes of assessment and reporting, LMS, and changing relationships with the LEA. At the same time, schools need to maintain some continuity with their present and previous practices. Much of what schools now do is important and valuable, the product of professional expertise and experience about how schools are effectively organised. There is thus for schools a tension between development (innovation and change) and maintenance (stability and continuity).

This tension is expressed in the fundamental set of choices (see next page) which schools have always needed to make in order to function as an educational institution with a particular character.



### *Choice 1 Aims*

Schools have aims (goals or purposes) which are multiple and diffuse. It is not at all clear what these aims are or should be, how they are to be achieved or how it can be shown that they have indeed been achieved.

### *Choice 2 Partners*

There is confusion about whether the partners of the school (the government, the DES, the LEA, governors, parents, the local community, pupils) are the groups who should determine what schools should do or are those who receive the school's services (as clients or consumers), or both. This confusion is greater than in other professional fields (eg medicine, law, architecture).

### *Choice 3 Curriculum*

In recent years there has been growing confusion about the meaning of the school's curriculum. It can refer to the content of lessons in a very narrow sense, or it can be interpreted as the totality of the experience of pupils as they learn and develop, as a product of school, home and life in the community.

### *Choice 4 Organisation*

Everybody acknowledges that schools are centrally concerned with teaching and learning. But how teaching and learning should be organised is solved in widely different ways by the schools. That teachers should teach and pupils should learn does not in itself lead naturally or easily to agreed means of organising these activities.

### *Choice 5 Management*

Teaching and learning are only part of what is meant by school organisation. Schools are complex organisations which adopt a wide variety of means to conduct their affairs. They devise such management arrangements to sustain their chosen form of organisation.

### *Choice 6 Change*

Change always challenges current assumptions and practices. Schools have to choose which changes to make and then devise strategies for implementing them in the interest of school improvement but without damage to existing good practice.

### *Choice 7 Support*

Schools cannot survive, let alone develop and change, without support, if only from parents and pupils. At times of change, schools have to decide when and how to mobilise support to assist them.

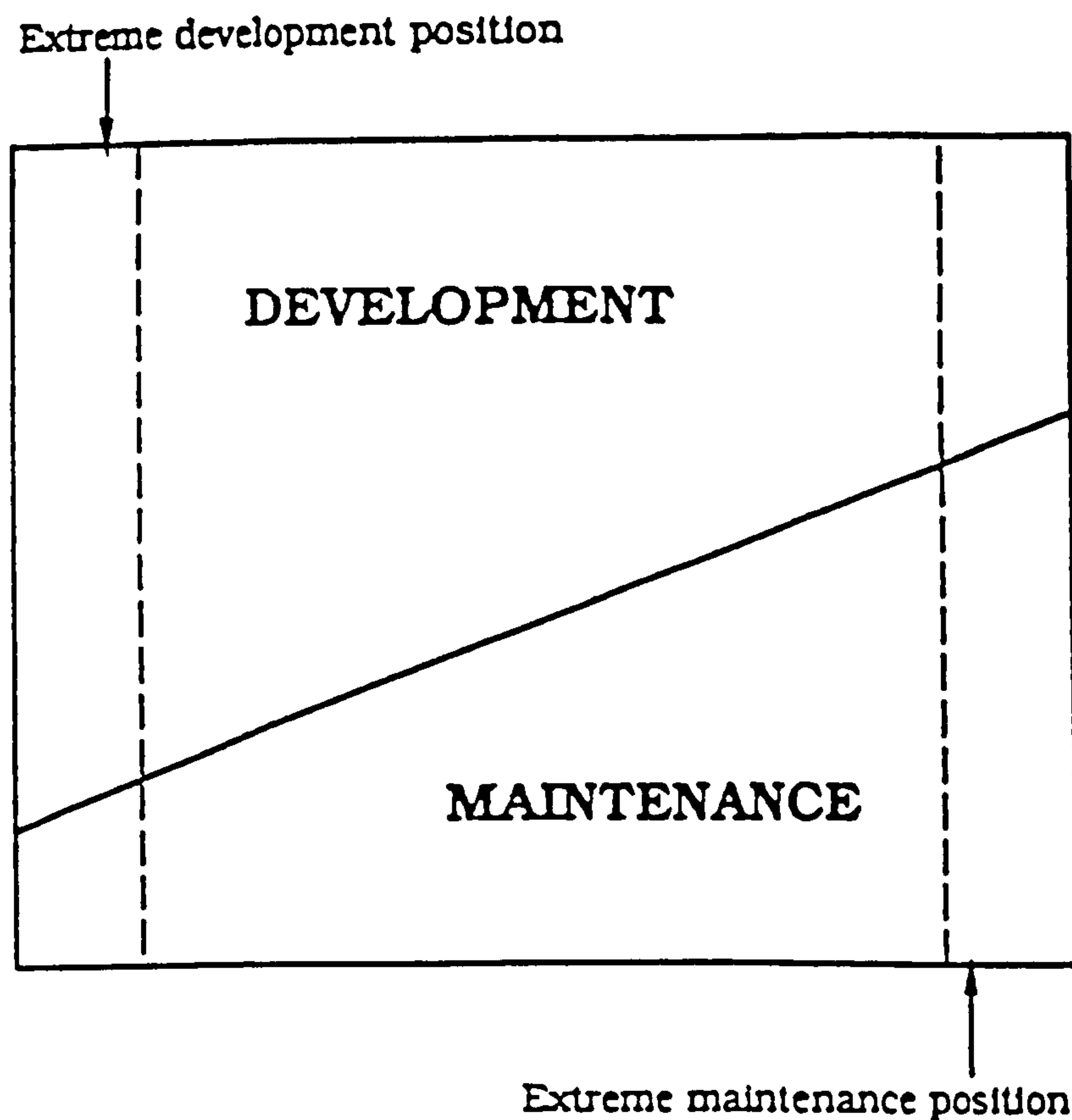
### *Choice 8 Ethos*

Schools develop an 'ethos' (or climate, character or atmosphere). The notion is widely accepted: but what exactly is ethos and can it be created or changed?

The choices made by schools show considerable variation. Each choice highlights the tension between development and maintenance. The choices can be understood as leaning towards either development or maintenance, or as falling between the two (see Diagram 3). A profile could be drawn for any individual school (or part of a school) according to how it responds to each of the eight choices.

DIAGRAM 3

### RESPONSES TO THE CHOICES



At the extremes the orientation is strongly towards either development or maintenance. A few schools will tend towards one of the extremes, maintenance or development, in a consistent way for all the eight choices; most schools have a more 'mixed' profile, at one or other extreme for some choices and in a more central position for other choices.

The purpose of this profile is to diagnose the nature of those difficulties which a school, or part of a school, is likely to experience with development planning. It is not intended as a measure of school quality or school effectiveness. Schools are judged by officers or themselves as effective or successful on the basis of different criteria and successful schools may have very different profiles in relation to the eight choices. The work of the project indicates that it is schools which have an overall profile which tends consistently to one extreme which have the greatest problems with development planning; schools with a more mixed profile, or a profile which tends towards a central position, will (whatever the state of their



effectiveness judged by other criteria) be more likely to respond favourably and successfully to development planning:

The characterisations which follow are illustrations (for heuristic purposes) of the extreme positions and a more central position. If a school, or part of a school, leans too heavily towards development, it becomes so concerned with innovation that it becomes unstable by its neglect of continuity; if a school, or part of a school, leans too heavily towards maintenance, it is so concerned with preserving the status quo that it cannot respond to the needs for change. Schools which have a mixed profile or tend towards a central position between the extremes are more favourable to development planning since they recognise the tension between development and maintenance. It is these schools which understand that they cannot innovate to the point where they damage the maintenance system but also that the maintenance system may inhibit the process of innovation.

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### *Choice 1 Multiple and diffuse goals and purposes*

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At the maintenance extreme, the school's aims are largely rhetorical and the school develops its own very different operational goals which may not reflect the needs of pupils or parents. At the development extreme, the school is constantly changing or refining its aims in the light of changing circumstances but this creates discontinuity or lack of coherence. In the middle position the multiple and diffuse nature of the aims is accepted but at varying times attention is paid to how one or more aims should be considered in detail so that strategies can be developed to achieve them and to monitor and evaluate their achievement. However, it may not always innovate in an area where change is most needed, because a system for monitoring and evaluation is lacking.

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### *Choice 2 The role of partners*

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At the maintenance extreme, the school emphasises its autonomy, especially the professional autonomy of the teachers. Pressures from the school's partners are seen as unnecessary interference and as a lack of trust in the professionalism and existing achievements of the staff. At the development extreme the school strives to be so responsive to all the partners that the school loses its sense of identity and internal consistency as it cannot resolve the sometimes conflicting expectations of different partners. Another version of the development extreme is that the school's main innovation direction is such that a key partner (the parents, the LEA) loses confidence in the school. In the middle position the school recognises these different expectations and strives, with variable degrees of success, to achieve a balance between responding to them and explaining the school's position on particular issues in a spirit of co-operative partnership.

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### *Choice 3 The curriculum*

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At the maintenance extreme, the school insists upon its own definition of the curriculum in terms of what the teachers teach. Outside pressures for curriculum change are seen as threatening. At the development extreme, groups of teachers

conceive of the curriculum in widely different ways and seek to develop these different conceptions, leading to lack of consensus on curriculum matters. In the middle position the school strives towards holistic or whole-school curriculum policies to bind the staff together. Curriculum change is seen to require a whole school response and strategy for implementation, but practice often falls short of this ideal.

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#### *Choice 4 The organisation of teaching and learning*

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At the maintenance extreme, teachers spend almost all their time teaching and do so in classrooms in professional isolation from their colleagues. Whatever the present form of organisation, it is thought to be tried and tested and cannot be changed since this would disturb the autonomy of each teacher. Another version of this maintenance extreme is that the school is so totally committed to a particular form of organisation (eg mixed ability/streaming; integrated studies/single subject teaching) that any innovation which challenges this is resisted. At the development extreme, new forms of organisation are under constant consideration but staff become divided about new forms of organisation to which not all can subscribe. For schools in the middle position, changes in organisation arise slowly after agreement on the basis of debate or the results of innovations piloted by a group of staff and then carefully evaluated. In practice, it proves difficult and slow to achieve such consensus on changes needed or the outcome of pilot schemes, and in some cases consensus is achieved only on issues of marginal importance.

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#### *Choice 5 School management*

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At the maintenance extreme, the head and deputy are the 'management' and it is their job to manage, though the way they do so may incur dissent or resentment. There is confusion between management and administration. Leadership is a quality expected of the head. At the development extreme every innovation and change leads to new roles and designations of responsibility and there is confusion about who is responsible for what. In the middle position, there are clear lines of responsibility for those functions necessary for maintenance, but 'task groups' are created to implement new ideas which cut across the line-management. A spirit of collegiality exists alongside a structure for responsibility and accountability. Teachers share in the management of the school; leadership is a quality exercised by all staff, depending upon the circumstances. The head strives to be a supportive enabler, without abdicating responsibility for the school as a whole.

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#### *Choice 6 Innovation and change*

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At the maintenance extreme, demands for change are seen as intrusive and potential sources of damage. If change cannot be resisted, each innovation is treated as a separate entity, affecting a limited area of the school and unrelated to the school's main work. The head leaves such innovations to individuals or groups; they tend to die when the innovating staff leave. At the development extreme, the head enthusiastically embraces individual innovations as they



arrive, and some staff may consequently engage in so many innovations that they become overwhelmed by them. Innovations are rarely evaluated and the school's rhetoric about innovation is far in advance of its practice. Again, innovations tend not to survive the departure of their originators. In the middle position, the school builds innovation very selectively upon existing practice after collective deliberation. Innovation tends to survive the departure of the original key staff. The head finds time to support the innovations, but does not find it easy to cope with the increased pace of change and with innovations to which the staff are unsympathetic.

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*Choice 7 Support systems*

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At the maintenance extreme, insufficient support is provided internally for an innovation and little use is made of external support, eg from the officers, parents, governors, higher education. There is no policy for staff development. Teachers attend external courses for their own professional development rather than to meet the needs of the school. At the development extreme teachers are so involved in highly diverse INSET that staff are frequently out of school and classes have many supply teachers. In the middle position, there is a staff development policy designed to support a limited range of innovation to meet the school's needs. Teachers on courses are now expected to import the benefits back into the school to help other staff. There is an emphasis on school-based INSET and drawing other partners into the school to support innovation.

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*Choice 8 Ethos*

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At the maintenance extreme, ethos is a mystery, something intangible and ineffable which a school simply possesses or lacks. At the development extreme, the most important aspect of ethos is the commitment to innovation and change. Staff who lack such enthusiasm are seen as damaging to the school's ethos. In the middle position, ethos is regarded as a product of the shared values and commitments of the school and its partners. Its most important aspect is the appreciation of staff and pupils. Ethos supports some development and change and can be improved by such activity.

## SECTION 5 IMPLICATIONS FOR THE LEA

The approach described above may be valuable to officers in several ways.

- (1) It can be used as a means of understanding and perhaps anticipating the difficulties which many schools experience with development planning. It could also be used by officers in a diagnostic way to help to identify some of schools, or parts of a school, which are likely to experience severe difficulties.

(It is important to recognise factors outside the control of schools which are also likely to create difficulties with development planning, especially in the small primary school with two or three teachers; or the larger school with an extremely high turnover of staff or a very large number of new or probationary teachers; or a school where the headship is vacant.)

- (2) The approach could be used by schools themselves to promote discussion about how they might approach development planning.
- (3) The approach may help LEAs to recognise the same tension between maintenance and development in its own work and therefore the potential value (and difficulties) in creating an LEA development plan.
- (4) The approach may help in the design of strategies, by both officers and the school itself, to manage development planning more effectively.

### Development and maintenance extremes

Schools whose overall profile is mixed or tends towards the middle recognise their existing strengths and see them as points for growth. At the same time, they acknowledge their limitations and so understand the potential power of development planning to guide and support innovation. Indeed, many such schools already engage in development planning, though they may not so call it or approach it in a systematic way.

Schools (or parts of schools) at the development extreme may be so confident in their innovative capacities that they take on too much too quickly. They will be good on plan construction, but much weaker on audit (since they will be reluctant to investigate weaknesses) and on evaluation (because the need to assess the effectiveness of implementation is seen as distraction). They may also fail to see some of the more novel aspects of development planning, such as the need to involve the governing body.

There are at least two versions of schools (or parts of schools) at the maintenance extreme. The first is a school with a sound reputation and held in high regard by governors, parents and the local community. The head and staff are thus generally self-confident and are anxious to maintain the *status quo*, and see little purpose in reform. Such schools do not necessarily have a capacity to cope with development and change.

The second version of the maintenance extreme is one which is seen as a 'poor' or 'failing' school. In many cases the head and (at least some) staff are defensive about the school, believing that the school's reputation is undeserved and



blaming outside factors (government/LEA policy, lack of parental support, the quality of pupils, local conditions) for any perceived shortcomings. The school has a poor record of managing any innovation. There is a high level of anxiety and resistance shown toward any external innovation and a reluctance to accept direction, advice or support from the governing body or LEA officers.

In making their response to such schools, officers need to take account of their central problems, namely the absence of the conditions in which innovation can be managed and allowed to flourish. To put it another way, the schools have to innovate to generate the conditions to support other innovations.

### Root and branch innovations

*Planning for School Development* draws upon the metaphor of growth to describe the process of development and change.

*'Properly understood, change is just another word for growth. To assist the process of growth, one needs to know where one is growing from as much as where one is growing towards.'* (p.6)

In terms of this metaphor, a school may lack roots of sufficient strength and depth to support the branches of innovation which represent its growth from its existing practice. Innovations are of two kinds: root innovations are those which generate the base on which other or branch innovations can be sustained. A school with, for example, sound management arrangements or a staff development policy or a history of collaborative work among staff and with the school's partners has grown strong roots to support many of the innovations which it now needs to implement. With such well-established roots, the school can treat the National Curriculum as a branch innovation to be grafted on the school's existing curriculum practice. Where such conditions do not exist, a school should attend to some root innovations as an early priority to provide the pre-conditions for attending to branch innovations.

A few schools have such strong roots that they can successfully manage a range of branch innovations. Most schools will need a mixture of root innovations and branch innovations and, through their development plan, will need to sequence them so that the appropriate root innovations precede the branch innovations which have to be adopted.

Schools with a more extreme profile (either maintenance or development) tend to lack roots on which to base the branch innovations now required. Yet they may well be tempted to take only branch innovations among their priorities. It is very unlikely that these can be implemented successfully; development planning is likely to be relatively unsuccessful; and the schools' capacity to cope with change is further weakened.

The innovations which these schools most need are root innovations, but the schools will tend not to acknowledge this fundamental need.

This conclusion affects these schools' approach to development planning and the guidance and support offered by the LEA, as follows:

- (i) Many schools can pass through the stage of GETTING STARTED fairly quickly, since the need for and value of development planning are readily appreciated. For the schools under discussion, however, GETTING STARTED is likely to be a critical stage, one which is of necessity slow and potentially difficult. In some cases considerable skill will be needed to assist the governors, head and staff to establish a recognition of the groundwork necessary for successful development planning. Where the LEA requires all schools to produce a development plan in a relatively short period, there is the danger that this stage will be neglected.
- (ii) During the AUDIT stage the schools need to identify and investigate the weaknesses in basic functioning. Part of the function of the audit stage is to create an explicit link between a school's strengths and weaknesses and external demands for change arising from national and LEA policies and initiatives. In the case of the schools under discussion, it is vital that the school comes to recognise the need for root innovations as a part of the development plan. Skilful and sensitive assistance will probably be needed from officers for the school to take this essential step.
- (iii) In the CONSTRUCTION stage, these schools are most likely to lay foundations for future success when:
  - the number of priorities chosen is very small
  - there are both root innovations and branch innovations
  - branch innovations are restricted as far as possible to those which cannot be postponed (eg National Curriculum)
  - root innovations are selected to support the inescapable branch innovations
  - short-term planning is determined in the light of longer-term goals.

In schools which are very poorly placed to engage in successful development planning, it may be helpful to introduce a review aspect to a root innovation chosen as a priority. That is, the action plan should have an element of review-type activity as well as innovation, since the time-scale for the development plan may allow too little time for an adequate audit in such a school. As it is demoralising for a school to spend too long in the audit phase, review-type activities can be transferred to the action plan to provide a sound basis for planned change. Again, the school is likely to require skilful support from officers to construct such a plan.

- (iv) During the IMPLEMENTATION AND EVALUATION stage, the school must be helped to achieve success, especially with the very first development plan, to give confidence to the staff. Particular attention should be given to the root innovations, since they are the foundations for the future branch innovations and so make the school less dependent on LEA support in later years.



Such a strategy is designed to avoid the worst possible outcome for such schools, namely a serious failure in development planning. This then causes a deterioration in the already weak preconditions for effective innovation.

### LEA strategies

From the LEA point of view, effective development planning in these schools may require:

- (i) As much protection as possible from pressures towards innovation.

The limitation of the school's agenda to those branch innovations which are inescapable should greatly increase the school's chance of success, which is the essential condition of school improvement. This may mean that the school is not expected to give priority to the LEA's policies and innovations in the early years and that the school should be discouraged from undertaking other forms of innovation outside the legal requirements.

- (ii) More support than other schools from the LEA.

Such additional support may take various forms: extra time from inspectors/advisers; priority for consultancy support from the officers and for INSET opportunities; priority from LEA staff on professional training days to ensure that they are used effectively on the school's limited agenda for innovation; additional resources, if possible, for specific deployment on the chosen agenda.

To be successful, such support needs to be set within a strategy for the school designed in partnership between the officers and the school. The school may well have received support from the LEA in the past, but has failed to respond to it. This may be because, from the point of view of the school, the LEA approach seems to consist of tactics rather than a mutually agreed strategy. For instance, the school may have received considerable oral advice (which is ignored); opportunities for INSET for key individuals (which are not accepted or, if accepted, fail to feed back into the school as an impetus to institutional renewal); opportunities to visit other schools to observe good practice (which produces defensive rationales 'That won't work in our school because.....'). A more strategic approach derives from a recognition that change is a relatively long-term process which cannot be done quickly or easily and that a carefully formulated step-by-step approach is to be preferred. This will require an alignment between the LEA's strategy for support and the school's slowly emerging strategy for its own development.

Strategic alignment of this kind is likely to involve:

- external support (of the kind described above)
- external pressure (without which the school may not move from its stable pattern of self-maintenance eg an inspection, expressions of parental dissatisfaction)
- internal pressure (the recognition by the governors, head and senior staff of the advantages of development to the school itself)
- internal support (the release of self-help and self-directing energy which allows the school to break free from too great a dependence on LEA support).

When the focus in the initial stages of the strategy is on root innovations, the school will be enabled to increase the number of branch innovations in later stages and to respond more effectively to unknown future demands for innovation and change.

It has been evident throughout this paper that success in development planning depends on the quality of a school's management arrangements or on action that is taken to improve those arrangements. This will be the subject of further advice in the project's second booklet for schools.

The project's approach is highly compatible with the philosophy of the School Management Task Force in its recent report *Developing School Management: The Way Forward* (DES, 1990). School management and school development planning have the common aim of promoting the learning and achievement of pupils and students; and both are key components in the implementation of recent reforms. The Task Force sees management development as increasing the capacity of school management to undertake these tasks. Management development is concerned with the development not only of people but also of the management structure as a whole and is thus closely related to the organisation and its development.

The report's emphasis is on management development as a school-based activity, supported by LEAs: management development should reach out to all teachers who have a contribution to make to the organisation's success. Management development, therefore, "must encompass the maintenance and development of the schools' management structures."



If schools have a management development policy incorporated within the school development plan, and if LEAs have a management development policy, as suggested by the Task Force, then the development plans of both LEAs and schools will be more closely integrated and management arrangements will thereby be improved to support successful development planning.

\* \* \* \* \*

*"The changes require a new culture and philosophy of the organisation of education at the school level. They are more than purely financial; they need a general shift in management."*

Coopers and Lybrand: *The Local Management of Schools*

*"Schools and colleges will need support in the new environment. That support should not maintain the institutions in a 'client' or subservient role. Rather it should be designed to assist them to achieve autonomy....Development and planning at institutional level can be encouraged and facilitated by the central education department. That means helping schools establish systematic arrangements for taking decisions about priorities, for example by encouraging the preparation of school development plans...."*

Audit Commission: *Losing an Empire, Finding a Role: the LEA of the Future*

The project team hope that this paper will assist LEAs with these important tasks.

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## ANNEX

### CO-ORDINATING PLANNING CYCLES

In the booklet *Planning for School Development* the project team suggest that one of the advantages of having a School Development Plan is that:

*"A Development Plan provides a comprehensive and co-ordinated approach to all aspects of planning, one which covers curriculum and assessment, teaching, management and organisation, finance and resources." (p4)*

The task of ensuring co-ordination of planning is undoubtedly difficult but it may be to the mutual advantage of governors, heads and the LEA to work together to create cycles which are, as far as possible, compatible and convenient.

Working together to plan coherently requires:

- building a shared understanding of the role of the development plan in the work of the school and the LEA
- clarifying the constraints on planning that exist (eg DES deadlines)
- identifying all planning activities currently taking place.

There are DES planning demands (eg LEATGS bids, the annual curriculum return); LEA cycles (eg returns to the LEA, education committee meetings, consultation meetings); school cycles (eg staffing and curriculum, governing body meetings); as well as school/LEA interdependent cycles (eg finance, inspection and monitoring, LEATGS, INSET).

Joint LEA/school planning:

- helps the schools to see the LEA as a supportive partner rather than as a body that makes demands on schools mainly for its own convenience
- maximises the efficient use of time and resources
- provides coherence to the work of both the school and LEA.

However, gains in co-ordination and coherence in planning are made at the expense of individual autonomy.

Schools and LEAs are responding to a range of planning issues and returns which occur at different times in the year. Some (but by no means all) of these forms of planning occur in cycles (eg the LEATGS cycle, the financial year, the academic year), which involve a preparatory period followed by a clear beginning and end to the cycle at fixed points in the year.

Other forms of planning are not tied to particular times of year (eg the annual curriculum return which can be completed at any point but should be returned in June) and can (be planned to) take place at the most appropriate times. LEAs can assist schools to avoid duplication of effort by ensuring that the school



development planning cycle fits as neatly as possible with the demands of fixed cycles and returns and that other requests for information are made at the most convenient times in the school development planning cycle. To achieve this level of co-ordination LEAs and schools need to agree the areas in which their planning is interdependent and reconsider the patterns of their own internal cycles so that work can be planned to their mutual advantage. The following questions highlight areas for consideration.

### LEA/School planning issues

These will vary from LEA to LEA; however some which usually need to be considered include the following:

- What is the relationship between the LEA inspection and monitoring policy and the development plan? Should officer<sup>1</sup> visits of a particular type be planned at particular stages of the cycle (eg audit, stocktaking)? Does the approach to LEA monitoring and evaluation take account of the development plan?
- Is financial information in various forms made available at the right stage to support the planning process?
- How can the information gathered for returns to the LEA and the DES be used to help the LEA and the school in planning?
- How are the professional development needs identified through the planning process linked with funding provided through LEATGS?
- How do the development plans affect the deployment of funding from external sources (Section 11, TVEE, ESG, EEC funds)?

Within the school the cycles which need to be co-ordinated with the school development planning cycle include:

- the academic and financial cycles: these involve reviewing and planning the work of the school through carrying out an audit of the staff, curriculum, resources, as well as administering external assessments (including SATs)
- governors meetings: since governors are to be fully involved, the governing body will need to meet at appropriate times eg when decisions are being made on priorities
- staff meetings: these need to be co-ordinated with key aspects of development planning such as consultation, decision-making, reports from working parties
- meetings with parents: consultation with or reporting to parents will be more appropriate at certain times rather than others

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<sup>1</sup> "officers" includes advisers and inspectors

- pupil involvement: schools of all sizes and types successfully involve pupils in aspects of the school development plan - from discussing priorities to evaluating changes.

Meshing the school development planning cycle - which in theory can begin at any time in the year - with other planning demands will be facilitated when the officers and schools undertake a joint mapping exercise. The purpose of such an exercise is to identify the optimum timing for the school development planning cycle so that all aspects of planning are integrated and co-ordinated.

### A Strategy for Mapping and Co-ordinating Planning Cycles

The following strategy can be useful at a number of levels - for mapping planning issues within school as well as between schools and the LEA.

#### Step 1

Lists are prepared by heads and officers of all issues which have an impact on the planning process: "What is needed, when and by whom?" eg DES issues - LEATGS, Annual Curriculum Return: School issues - curriculum, staffing and finance issues; governors meetings: LEA issues - inspection and monitoring procedures, financial cycles, deciding LEA priorities.

#### Step 2

This list is then divided into those issues which occur at fixed points in the year and those for which the timing is more flexible.

#### Step 3

Fixed points are taken first and the issues are then mapped out using some flexible method (eg a felt board, cards and pins / flip chart, cards and blu-tack). Points of conflict are thus highlighted and compromise will need to be reached before proceeding.

#### Step 4

Once fixed points are mapped, issues with more flexible timing are added and distributed through the year to spread the workload and to provide the best fit with fixed points.

Some people find it easier to do this mapping exercise using concentric rings to represent the annual cycle. However there is a problem in that some cycles overlap and may fit better into a cycle longer than one year. Some people prefer



to map in a longitudinal way which allows for this overlap. Diagrams 4 and 5 illustrate these approaches. In practice, some schools find a shorter cycle than a year preferable; others have a fifteen month cycle with a third term of implementation overlapping with a term of audit and construction for the next cycle. Yet another variation is to plan two terms implementation followed by one term review.

DIAGRAM 4  
MAPPING PLANNING CYCLES

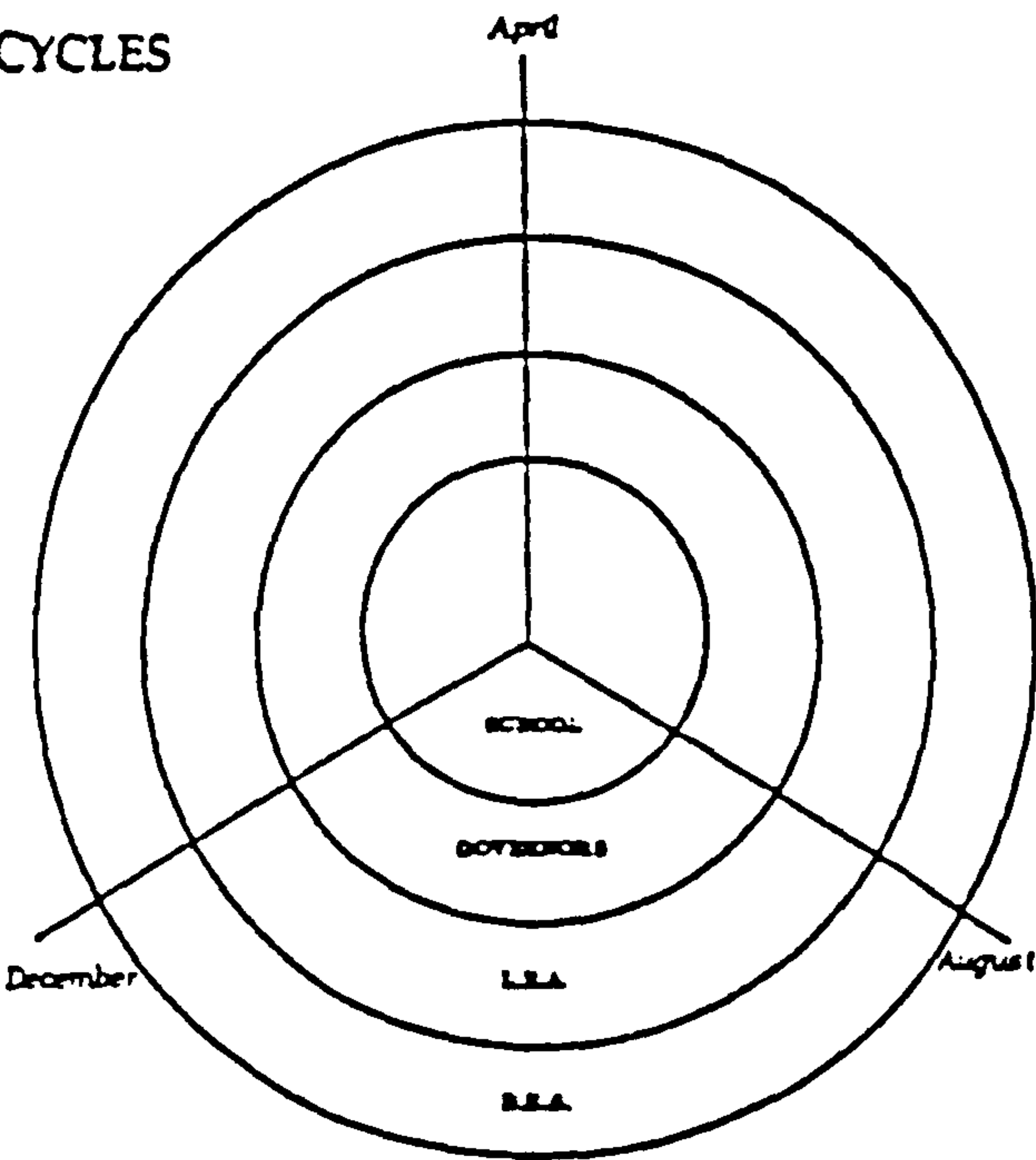


DIAGRAM 5  
MAPPING PLANNING CYCLES FIG 2

	Yr1	Yr2	Yr2	Yr2	Yr3	Yr3
	Spring	Summer	Autumn	Spring	Summer	Autumn
School						
Governors						
LEA						
DES						

As LEA practice and terminology varies considerably (eg in the timing of financial information, in the allocation of LEATGS funding, in the role of the development plan in relation to the monitoring and inspection policy), the examples provide only an outline form.

Officers and heads will decide how best to mesh the different planning cycles and demands on the basis of the planning processes and procedures in their LEA. The advantage of such a joint approach is that planning becomes more co-ordinated and integrated to the mutual benefit of all involved.

**Paper 10**

**LEASK, M. (1990a)**

**Evaluating TVEI**

***Insight, May 1990, pp.14-15***



# Evaluating TVEL(E) in Enfield

Marilyn Leask was, until Easter, Advisory Teacher on Evaluation and Assessment for the London Borough of Enfield and is now seconded to the School Development Plan Project, Cambridge Institute of Education/University of Cambridge.

Evaluation of new programmes, whether funded through the Training Agency or elsewhere, is now regularly expected of teachers, yet there is a lot of uncertainty about how to incorporate this task into every day work. These notes were prepared to provide starting points to help teachers come to grips with this new aspect of accountability.

The main purpose of evaluation is to find out how well things are going and what could be done to make them better. Armed with this knowledge teachers can answer the questions they pose themselves about new initiatives as well as those posed by others.

There are three key evaluation strategies available to teachers

## (Informal) Monitoring —

or 'keeping an eye on things' is the method of evaluation which teachers use all the time.

## (Semi-formal) Review —

or 'looking back at what has happened', is an ongoing retrospective exercise. Reviews of programmes of work and student progress usually take place through discussion in departmental or staff meetings. Review criteria should be clear and discussions focussed on these.

## (Formal) In-depth evaluation —

involves deliberate planning of the collection and consideration of evidence of what is happening from a number of sources.

It is carefully organised, often by a group of teachers working together, and the findings are debated by those involved and used to modify programmes of work or approaches to teaching.

It is most useful to give feedback during a programme of work or course (formative evaluation) rather than just reporting at the end (summative evaluation).

When reviewing evaluation procedures, the following questions provide a useful focus for team discussions:

## Monitoring —

- \* Do you have clear targets for pupil learning?
- \* Are your methods of recording achievement, progress and experience capable of being used to show development from year to year?
- \* Is your system of profiling understood by students and felt to be working well?
- \* Regarding cross-curricular features, to what extent have departments identified the feature as part of their work? Do you have procedures for cross-checking what is happening and getting feedback?

## Review —

- \* Are your targets for an area of work understood and accepted by the staff involved?
- \* Is the process of reflecting on progress and modifying approaches and work a regular part of your planning process?



- \* Do you draw on a range of sources for evidence of what is happening? What criteria do you use for deciding on sources?
- \* Have your plans for development as set out in your annual plan emerged from sound review procedures and are they based on pupil need?
- \* Are your criteria clear when you review your work as a staff – are your discussions structured so that a thorough review takes place?

## In-depth evaluation

- \* What aspect of your work are you planning to evaluate?
- \* What specific questions do you need to ask?
- \* Who has (or where is) the information you need?
- \* What methods will you use to collect the information?
- \* What is your position on the ethical questions posed by evaluation such as confidentiality and the confirmation of data?
- \* Who will analyse the data and what form will the report take?
- \* How will you convey the findings to colleagues?

Evaluation can be very time-consuming

and there are so many aspects to it, that teachers need to recognise that they can tackle only certain issues at any one time. Consideration of the following points when any evaluation is being planned will help to maximise efforts

- what is it that would be particularly useful to know? Have a clear purpose in mind!
- what method will give the maximum useful information with the minimum expenditure of time and effort?
- what resources are available?
- when is the most appropriate time to evaluate, or to collect evidence?
- who needs to know and will want to know what you've found out?

## Self-evaluation – sources of evidence

- \* Looking at students' work, their profiles, diaries and files.
- \* Discussion, with students, staff, employers, governors, parents.
- \* In-depth interviews with the above.
- \* Observation of students at work, of staff, through supportive pairing by colleagues, through student shadowing.
- \* Reports from users of new cur-

riculum materials, equipment or syllabi.

- \* Evaluation forms for pupils or teachers on INSET at the completion of modules.
- \* Questionnaires.
- \* Photographs/videos of activities.
- \* Time audit, covering students' experience of the school day.
- \* Testing and assessments of various kinds.
- \* Documents – departmental plans, syllabi, policy statements, teaching notes.
- \* Teaching materials, like text books, OHTs, worksheets.

To sum up, none of the above evaluation strategies are difficult in practice; the difficult bit comes with planning ahead, collecting the right information about how things are going in time for making decisions about where to go next. To be useful, evaluation should be planned to take place in step with the work in the classroom, not tagged on at the end as an afterthought.

In Enfield, TVEI Advisory Staff and staff in schools are asked to produce an annual plan which outlines their aspirations for the following year.

Examples of what might go in the evaluation column of the Annual Plan. Where a school has identified success criteria, the evaluation should be directly related to them.

KEY TASK	EVALUATION
To raise staff awareness of alternative teaching and learning styles.	<p><i>Purpose:</i> To support professional development of T&amp;L styles through self-evaluation.</p> <p><i>Method:</i> Paired observation scheme</p> <p><i>Timing:</i> One observation per team together with termly review of staff experiences.</p> <p><i>Purpose:</i> Establish pupil experience of teaching styles.</p> <p><i>Method:</i> Shadowing pupil for a day.</p> <p><i>Timing:</i> One day in Autumn term to feed-back to staff early in the year.</p>
To ensure the provision of a quality work experience scheme for all fourth year pupils.	<p><i>Purpose:</i> To establish impact of the scheme on pupils</p> <p><i>Method:</i> In-depth evaluation: questionnaire and/or discussion and/or interview with staff/pupils/employers.</p> <p><i>Timing:</i> Discussion before and after pupils go out. Employers questionnaire after. Staff interview during and after.</p>
To encourage pupils, particularly girls and those from ethnic minorities, to choose subject patterns which keep options open for higher education.	<p><i>Purpose:</i> To establish if more young people are taking up opportunities</p> <p><i>Method:</i> Discussion with pupils about implications of subject choice</p> <p><i>Timing:</i> Monitoring option choices and take up of opportunities.</p> <p><i>Timing:</i> Discussion with 3rd years in Summer Term Analysis of destinations and options Summer/Autumn term every year.</p>
To develop an integrated approach to economic awareness across the curriculum.	<p><i>Purpose:</i> To establish the reality of the integrated approach.</p> <p><i>Method:</i> Staff review of practice and analysis of schemes of work.</p> <p><i>Timing:</i> mid-Easter term and mid-Summer term team meetings.</p>



**Paper 11**

**LEASK, M. (1990b)**

**Planning for the Future**

***School Governor, March 1990, pp.14-15***

# PLANNING FOR THE FUTURE

School Development Plans can be either a tremendously useful joint venture or a missed opportunity, depending on how they are carried out. Marilyn Leask offers a model for co-operation.



Photo: Roy Peters

**G**OVERNORS, staff and heads feeling snowed under with National Curriculum documents and concerned about Local Management of Schools proposals will rightly question the allocation of time to what seems to be another new initiative. Yet heads with considerable experience of School Development Plans (SDPs) say that school development planning provides a useful strategy for managing potentially conflicting priorities within a coherent framework.

Of course, planning has always taken place, albeit on an informal or ad hoc basis, but as we enter the nineties new management strategies are needed if schools are to cope with the pressures for curriculum change and satisfy requirements to involve and report to the local community.

Many Local Education Authorities have been encouraging schools to plan and have been using school plans as a basis for applying for funding for inservice training and special projects as well as for monitoring TVEI.

In the future LEAs are also likely to base their inspection and monitoring policies at least partly on the school's development plan.

The school development plan therefore, has an important part to play in helping schools fulfil their new responsibilities.

## What is a School Development Plan?

Because SDPs are already being used in various ways, there is no standard format or content. We are in a period of experimentation and just as it will take a number of years for schools to be able to operate the planning process smoothly so it will take time for any consensus to emerge about the best way of presenting plans.

This much is clear from our work: the SDP needs to be a brief document, freely available, which gives those reading it an understanding of:

- the aims and values of the school, its strengths and how proposed changes further these aims.
  - The priorities pinpointed for development and proposed timescales.
  - The resources required.
  - How progress will be reported.
- The plan needs to set out goals which are achievable within a reasonable time span - 'think big - start small' is advice many experienced heads give. It is updated every year with one year being planned in detail and outline plans included for the following two years.

The SDP is of course, not the only documentation available within a school. It is supported by various policy documents (which some schools put together to form a 'School Portfolio') and detailed 'action plans' which guide the teachers' work in each priority area.

As work on priorities for development is over-and-above the everyday work of the school, there is some consensus that three or four priorities are the most that schools can manage well at any one time. Priorities are often chosen from the following areas:

- Particular areas of the curriculum (eg reading, new schemes of work).
- Issues to do with the ethos of the school (eg behaviour, the environment) communication (eg within school, home/school links).
- Policy development (eg equal opportunities, homework, assessment).

## Governors' role?

Each governing body will decide for itself how it should be involved in development planning. At one extreme, some governing bodies will devolve almost everything to the head and the teachers. At the other extreme, others may wish to be so involved that they confuse their role in having a general oversight of the school with that of the head and staff in being responsible for the day-to-day running of the school. Neither extreme is desirable.

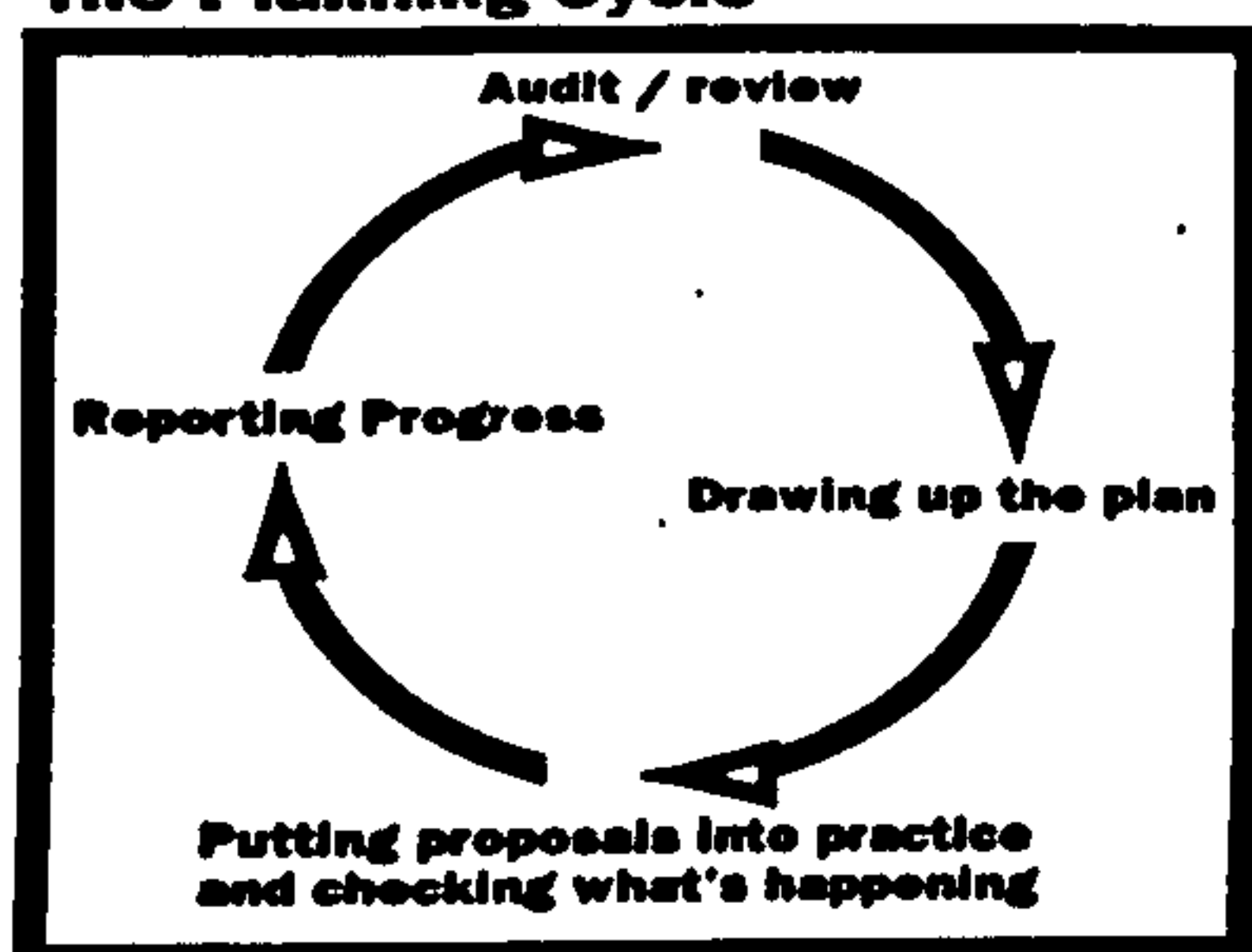
As a minimum, governors will need to approve the development plan and receive reports on the outcomes. Governors will find it easier to take part in the process where, as a body, they understand the stages of development planning and the potential for their involvement, they have good working relationships and they adopt appropriate methods of working.



## The stages

The stages of the annual development planning cycle are shown in the following diagram:

**The Planning Cycle**



The audit/review stage is used to establish strengths and weaknesses in order to choose the priorities for development. All those connected with a school have different perspectives. Younger pupils have different viewpoints to older pupils, parents different to teachers, the head and governors too will have individual perspectives. Wide consultation at this stage of planning is recommended so that the priorities for development which are chosen do have general support. Choosing priorities which also need to be able to yield results within a reasonable time, together with the production of a draft development plan, is a task for a small group - the head, perhaps the chair of governors, and other staff. This draft plan is then presented to the governing body for discussion and approval.

The plan of course is a statement of intent - the existence of a plan does not ensure that desired changes are brought about. Care is needed at this stage. Drafting an impressive school plan is not difficult - the problem is to strike the right balance between what is achievable and what must be left until another time.

Grandiose plans which are not feasible in the time available to the teachers or within existing resources will cause disillusionment and little improvement will result. Experience shows that breaking development into a series of small steps is most likely to lead to success. Confidence in and commitment to planning is enhanced where progress can be clearly demonstrated.

Much of the work to be done in putting proposals into practice and checking what is happening will be the concern of the teachers but there are priorities in which governors can and indeed should, be directly involved eg school/industry links, home/school liaison. At this stage, working documents (or 'action plans') are drawn up to include details of

what is to be done, the timescales involved and the criteria for judging success. Where governors are actively involved in putting aspects of the plan into practice, they too will need 'action plans' - in most instances, governors would be working with teachers and this level of planning would be a joint activity.

Reporting to all involved is an important stage of the process and can be used to create a sense of unity within the school community. Governors will want to be kept informed of the progress of the plan. The annual meeting where governors report to parents could provide an appropriate forum for telling parents about the outcomes of the school plan and for eliciting parental views for consideration in the next planning cycle. If a working session with parents was to be part of this meeting, it would need to be thoroughly planned and led by someone with experience of this method of working.

## Planning points

Sound working relationships are needed between members of the governing body as well as between the governing body and staff. However keenly governors may feel about the priorities for development within the school little, if anything will happen without the active co-operation of the head and at least most of the classroom teachers. Governors may find it helpful to use the following questions when considering their role.

- What contact is there with the staff and pupils? How much is desirable? Could it be better organised? How much time do governors spend in school? In what ways could this time

best be used?

- When do governors meet? A governing body able to arrange meetings at the end of the school day will have more opportunities to work with staff and pupils than one meeting only in the evening.

- What experience do members of the governing body have to offer? The skills of individual governors may well be untapped simply because governors have never got to know one another well.

Governing bodies work in a wide variety of ways. The following points may usefully be considered if a governing body is to be effectively involved in planning.

- Do you meet often enough? Some governing bodies meet little more than the regulation three times a year - this means that there is little opportunity to build up working relationships or to deal with issues as they arise.

- What is the structure of your meetings? Do governors have the opportunity to discuss educational issues or are meetings concerned solely with 'business'?

- Are responsibilities shared out? Some governing bodies allocate responsibilities to individual governors or committees - this method of working allows for close liaison with and involvement in school working parties.

- How do governors report on their school visits? The chair and vice-chair of governors usually spend more time in the school than other governors - do they report fully to the governing body?

## The challenge

Each governing body will need to find ways in which it can work in partnership with the headteacher, pupils, staff and parents to plan the school's development so that all involved have a shared view of the purpose and direction of their school.

Within such a framework, the school will be able to manage in a coherent way, the curriculum changes and other demands (as yet unknown) which the nineties will bring, and thus provide the best possible educational opportunities for the children in its care. ■

Marilyn Leask is the research associate for the School Development Plans Project based at the Department of Education, University of Cambridge and the Cambridge Institute of Education. She is also a member of the governing body of a girls' secondary school.

The recently published booklet "PLANNING FOR SCHOOL DEVELOPMENT: ADVICE TO GOVERNORS, HEADTEACHERS AND TEACHERS" provides an exciting opportunity for governors to develop ways of working in partnership with others involved in the school in planning the school's development.

The booklet describes the process of producing and using a 'School Development Plan' (SDP). It includes suggestions of ways in which governors, teachers, parents and pupils can work together to come to a shared understanding of the strengths of their school, to agree on the areas requiring development and the strategies needed to bring about desired improvements. It is produced by the Schools development Plan project, funded by the DES.



**Paper 12**

**LEASK, M. (1990c)**

**Managing Resources:  
A self-study pack for school governors**

**Leask, M. in Kirkpatrick, G. and Thomas, H.  
(Audio tape)  
*London, British Broadcasting Corporation***



**This is an audio tape which is available on request.**

**Paper 13**

**LEASK, M. (1991)**

**Development Planning:  
A Practical Guide:**

**Advice to Governors, Headteachers and Teachers**

**(The final report of the School Development Plans Project, submitted to  
DES and circulated to all maintained schools.)**

**Leask, M. with Hargreaves, D.H. and Hopkins, D.  
*School Development Plans Project***

*London, DES/HMSO*



2

DEVELOPMENT  
PLANNING  
A PRACTICAL GUIDE

ADVICE TO  
GOVERNORS,  
HEADTEACHERS  
AND TEACHERS

JUNE 1991

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THE DEPARTMENT OF  
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SCHOOL DEVELOPMENT PLANS PROJECT

2

DEVELOPMENT  
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## HOW TO USE THIS BOOK

This is the second of two booklets designed to help schools to plan their future development and turn those plans into reality. Like the first, it is intended for all who have a share in planning: governors, heads and individual teachers. It may also be useful to the officers, inspectors and advisers of LEAs in their dual task of keeping track of how schools are doing and providing support to help them do better.

The first booklet, *Planning for School Development*, gives basic advice on constructing and implementing a development plan. It explains why development planning is important and it gives guidance on each of the main stages. It should be read straight through, to get a feel for the task as a whole.

This second booklet, *Development Planning: A Practical Guide*, assumes that you have read the first and will go back to it when you need to. It complements what was said there by giving more detailed advice on some of the most important and difficult aspects. It deals with the process a step at a time and is intended for use as you approach each main stage, rather than for reading right through in advance.

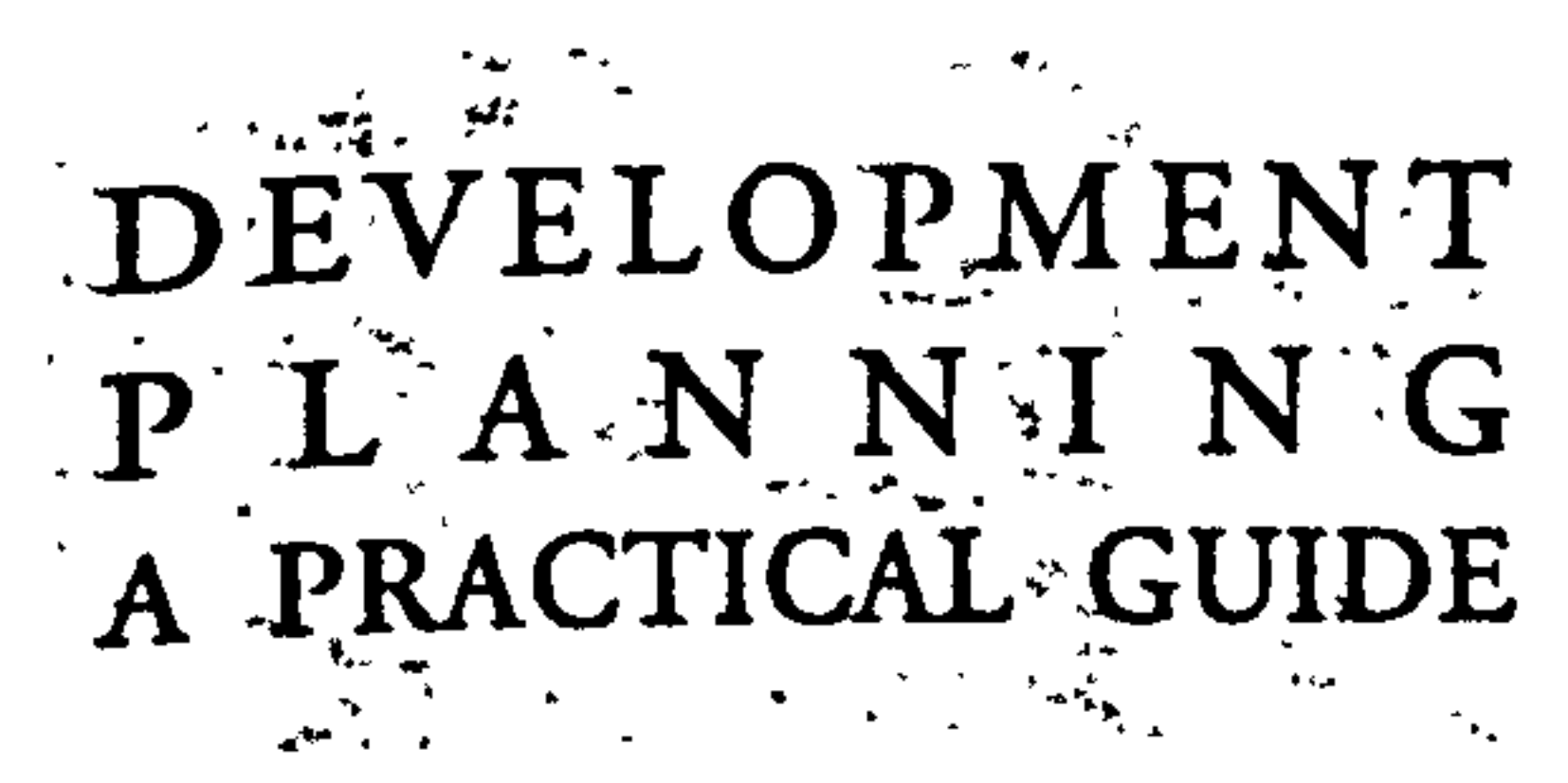
The CHECKLIST is the key to the rest. It sets out in simple form, for each main stage of the work, the steps you will need to take and some issues you will have to resolve. The notes alongside tell you where to look for help and guidance in the previous booklet, in the main chapters of this one and in the Reference Section at the end.

CHAPTERS 1 to 5 take each main stage in turn. They have been kept as short as possible in the hope that everyone involved - governors, head and teachers - will find time to digest the relevant chapter as each new stage is reached.

- 1 *Before setting out* tackles some issues that everyone needs to face right at the start, about the purpose of development planning and its likely effects.
- 2 *What is our starting point?* is concerned with how you set about the preliminary audit;
- 3 *Where are we aiming?* deals with drawing up of development plan itself;
- 4 *Which route shall we take?* is a guide to constructing action plans to put your plans into practice;
- 5 *Meeting the targets* is about implementing your plans and evaluating their effects, and particularly about the place of professional judgement.

The REFERENCE SECTION is a collection of illustrations, ideas and advice providing greater detail about some key topics and procedures. They are there to be consulted as the need arises. Some sections might usefully be photocopied to stimulate an exchange of ideas at a particular meeting.

This booklet derives all its main messages and some of the presentation from the second phase of the Department of Education and Science. Our thanks are due to the co-directors of that project, Professor David Hargreaves and Dr David Hopkins.



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## A STEP AT A TIME

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# BEFORE SETTING OUT

## WHAT IS DEVELOPMENT PLANNING?

A school development plan is a plan of needs for development set in the context of the school's aims and values, its existing achievements and national and LEA policies and initiatives. Detailed objectives are set for one year; the objectives for later years are sketched in outline.

The purpose of development planning is to assist the school to introduce changes successfully, so that the quality of teaching and standards of learning are improved. It does so by creating the conditions under which innovations, such as the National Curriculum, can be successfully introduced.

## IS IT WORTH THE EFFORT?

In one sense, there isn't a choice. The changes confronting every school are so many, and so pressing, that they simply must be managed in a sensible and professional way; if they are not, everyone involved is likely to be so overloaded and confused by a mass of competing priorities that nothing of value will emerge.

But development planning should mean more than acceptance of the inevitable. There are benefits to be gained which justify the effort.

It is important to distinguish between the plan itself and the process of planning. Writing a plan is relatively easy: the difficult part is writing a plan that not only gets to grips with the real needs of the school but is also workable in practice and produces the benefits it sets out to achieve. For this, you need to get the planning process right.

It needs to be a learning process in which obstacles are gradually removed, and mistakes remedied, as the work moves forward. It may take you two or three years of development planning before the full benefits are felt.

The advantages of development planning listed in the earlier booklet (p4) are therefore of two kinds: those which are direct outcomes of a successfully implemented plan, and those which are desirable by-products of the planning process.

The development plan itself

- Focuses attention on the aims of education;
- Brings together all aspects of a school's planning;
- Turns long-term vision into short-term goals;
- Gives teachers greater control over the nature and pace of change.

The benefit to be expected from this is a recognisable improvement in the quality of education your school provides for its pupils - in what they learn and what they achieve. This, above all, is the point of the exercise.

The process of planning

- Increases teachers' confidence;
- Improves the quality of staff development;
- Strengthens the partnership between teaching staff and governing body;
- Makes it easier to report on the work of the school.

Indirectly, these things too should improve the quality of the education you provide; they are all important. Reference Section A says more about them.

## WILL IT CHANGE THE WAY THE SCHOOL IS RUN?

In some schools, development planning has been seen as one more external requirement, to be 'bolted on' to the existing system. In such a school, the head sees no reason to spend time in preparatory work. With a few senior colleagues, the head draws up a plan, which is then presented to governors and the rest of the staff. The plan is a



sensible and useful statement of good intentions; governors and staff agree to it. A year later, too little of the plan has been implemented.

What has happened in such a school? In essence, it has not been recognised that the planning and management of change need to be integrated into the life and work of the school. As the person charged with the day-to-day responsibility for the school, the head took over the design of the plan and assumed that the existing attitudes and management arrangements were as appropriate for implementing rapid and major change as they had been in the past for supporting normal activities.

From the beginning everyone involved - governors, head and staff - should accept that:

- Success depends as much on the quality of the planning process as on the specific content of the plan;
- Every teacher will need to play a part in the plan, each with particular responsibilities but also with a grasp of, and commitment to, the process as a whole.

Creating the best climate for development planning may well require some adjustment to the way the school is managed at present. Management arrangements quite properly differ from school to school and there is no 'best buy'. Whatever the differences, though, three requirements remain constant. Governors, head and staff will need to:

- Establish management and planning systems that give direction and purpose to their activities;
- Have clearly defined responsibilities, both as individuals and as groups;
- Achieve an ethos of working together to achieve the aims of the school.

Reference Sections B-F give guidance on these three aspects.

You should not delay or abandon the whole planning process, however, just because the ideal conditions are not yet fully in place. If necessary, improving the management arrangements can itself become one of your objectives in the plan.

It is the head who has the most important part to play in getting the management arrangements right. Some crucial features of the head's role in this are listed in Reference Section G.

## GETTING THE PROCESS STARTED

For many schools, development planning is a new concept. Sometimes the LEA has taken the initiative, often requiring schools to submit a plan with the support of officers and published guidelines. Sometimes it has been the school's own initiative after hearing about development planning from various sources, including the earlier booklet in this series. Whatever the stimulus, before the task is begun the concept of development planning needs to be carefully studied by governors, head and teachers. Booklet 1 (p5) suggests five ways in which the discussion might get started.

REFER TO BOOK 1

## THE ORDER OF EVENTS

The essential stages are clearly set out in the first booklet and repeated in the CHECKLIST. The case study at the end of *Planning for School Development* (pp 18-19) follows one school's progress through each stage of the planning. The process begins with AUDIT.

REFER TO BOOK 1

## MEETINGS

All planning involves meetings. Many people's attitude to the whole exercise will depend on how they feel about the various meetings they are expected to attend. It is hard to maintain enthusiasm when meetings drag on, are poorly managed and seem to get nowhere. People come out of them feeling that their time could have been better spent. Reference Section H suggests some ways of making meetings more effective.



# WHAT IS OUR STARTING POINT?

## WHY AN AUDIT IS ESSENTIAL

Innovation is time-consuming, often laborious. Schools cannot afford change for change's sake. Yet some schools do innovate too much and this creates problems. Initiatives are not piloted or properly evaluated — simply introduced and then dropped in favour of the next new initiative. It is only common sense to concentrate your efforts at the points where change is most needed and where it is likely to make some difference to what matters most - the quality of the education your pupils receive. That is why some form of audit is a necessary starting point: before you can move forward sensibly, you need to take stock of what you are achieving already.

The earlier booklet (p6) defines the purposes of an audit as:

- To clarify the state of the school and to identify strengths on which to build and weaknesses to be rectified;
- To provide a basis for selecting priorities for development.

It also suggests some of the standards against which existing achievements should be judged.

## A BASIS FOR JUDGEMENT

The obvious starting point is the school's own aims and values.

For example, if one of these is "to encourage the children to think for themselves", what are you actually doing about this in the classroom and how well are you succeeding?

You are obliged to meet the demands of national legislation, and to take into account the policies of your LEA.

Is the school fully meeting existing requirements? Is change needed to meet new requirements known to be on the way?

You may need to take action to deal with problems identified by others.

For example, a recent report or visit by the LEA's inspectors or by HMI may have drawn attention to weaknesses in the teaching of a particular subject, or to poor record-keeping in some areas.

You would be well advised to take note of other perspectives.

For example, what do parents most often praise about the school and what do they tend to complain about? What picture do you get from local residents? What do the pupils themselves think?

## MUST THE AUDIT COVER EVERYTHING?

Carrying out a full audit of everything the school does is very time-consuming. In the past, a full-scale review might take two or three terms and only when it was completed could the development work for future years be planned. Today, with all the pressures for change, this approach is no longer appropriate - if indeed it ever was. The school's energies are better channelled into carrying out a rolling programme of small-scale specific audits in key areas, so that a picture of the school is built up gradually over successive years. The development plan can be updated regularly to take account of fresh findings as they become available and action on the most urgent matters can begin without undue delay.

## WHO DECIDES WHAT?

Before embarking on an audit, you need to be clear about the roles of governors, head and staff in each part of the process. There is no hard-and-fast rule, but it is usually best if:

- Selecting the areas for audit is done by the governors, on the advice of the head, in consultation with staff;

REFER TO BOOK 1



- Carrying out each audit is the responsibility of one teacher or a team working to the head (see 1,p8);
- Bringing together the results of the separate audits is the job of the head or a senior member of staff.

## CHOOSING A STRATEGY

Once certain aspects of the school have been selected for specific audit, those given responsibility for each area choose their strategies. There are three main options:

- Getting an external perspective.
- Using a published scheme.
- Designing your own approach.

The strengths and limitations of each are summarised in Reference Section I. The relationship between the school's own auditing and the monitoring and evaluation conducted by the LEA is discussed in Reference Section J.

For convenience the three options are presented separately. In practice, though, schools often use them in combination. For example:

In one school the external perspective offered by an LEA adviser prompted the school to explore particular issues in further depth, using their own approach.

In another, following a GRIDS review, some teachers decided to write their own accounts of a specific issue. These illuminated the issue further and included suggestions which were later incorporated into action plans.

One school linked the findings of its audit with the outcomes of staff appraisal. After a series of appraisal interviews the head was convinced that new guidelines for science were needed. The task of producing these was incorporated into the school's action plan and also formed part of the individual teachers' appraisal targets.

## USING THE FINDINGS

The findings of any audit can be used in a variety of ways. Here are some of the commonest.

- The audit may reveal strengths, possibly unsuspected ones. In one secondary school, for example, some teachers had chosen 'improving links with the primary school' as an area needing attention. When they conducted the audit, they found that some of their colleagues had developed excellent links already. An audit which is 'off target' in this way can still suggest priorities for inclusion in your development plan. What this school really needed was not better links but better sharing of existing good practice. You may, indeed, quite deliberately choose to audit what you believe to be a strength of the school, in the hope of learning lessons that can be applied elsewhere.
- It may reveal weaknesses that can be remedied quickly and easily. If so, there is no need for an action plan; you just go ahead and put things right.
- It may reveal the need for more thorough investigation. If it does, make this one of your priorities within the development plan, draw up an action plan to conduct it, and make any change of practice that proves necessary as a result a candidate inclusion in next year's development plan. Beware, though: a succession of enquiries can easily become a substitute for action.
- When the audit findings are brought together in a single report, this will give you a list of potential priorities for inclusion in the development plan, with a rough estimate of the amount of work that needs doing on each.
- Where a specific audit identifies in some detail the work to be done, this may save time at a later stage by providing a ready-made basis for action plans.

You may expect to end the audit stage, then, with a composite report which gives some aspects of the school's work a clean bill of health; prescribes an instant remedy for others; and also includes a 'long list' (hopefully not too long) of possible candidates for attention or further investigation in your development plan. The next stage is **CONSTRUCTING THE PLAN**.

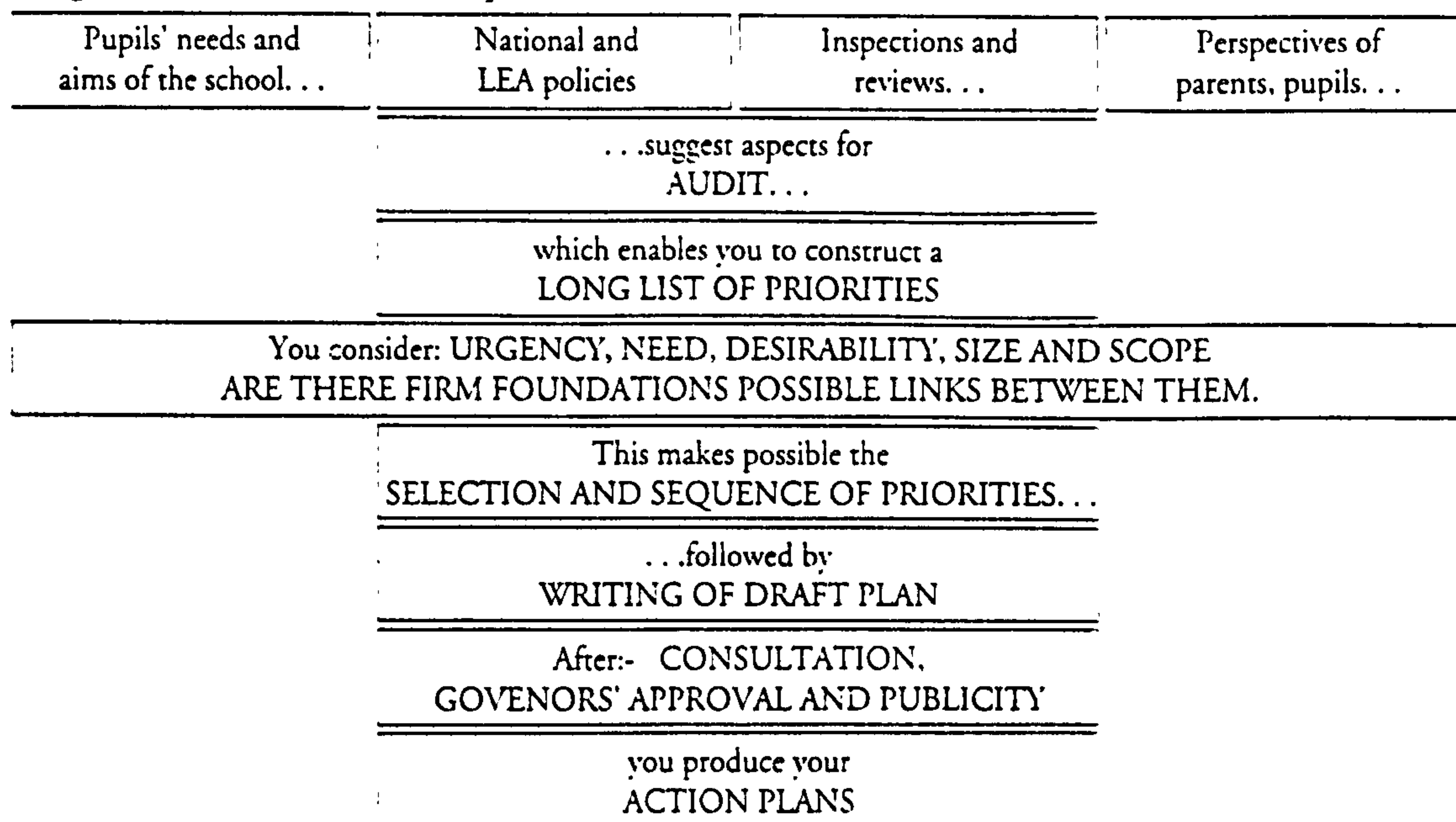


# WHERE ARE WE AIMING?

## THE ESSENTIAL STEPS

This chapter is about turning your list of possible priorities into a firm plan that you can begin to implement. First re-read the third section of *Planning for School Development: Drawing up the Plan*.

*Diagram 1.* Summarises the sequence of events.



The present chapter leads us to the point at which the plan has been agreed and publicised. Action planning comes in chapter 4.

## BEING REALISTIC

"The plan should be realistic, neither too ambitious nor insufficiently demanding. The main task is to decide which issues should be priorities for the first year of the plan, and which must be postponed to the second, third and later years. The plan must acquire its own coherence." (1,p9)

A list of possible objectives for development will have emerged from your audit; you may also need to add others, to accommodate new external requirements (from the National Curriculum, for example) or ideas that have arisen from consultation with pupils and parents.

Faced with this 'long list', the first thing that needs to be understood and accepted is that you cannot do everything at once. Only a small number of major objectives can be tackled in any one year if the plan is to be manageable. This is most obviously true in a small primary school, where most of the work will fall heavily on the same few people; but even in the biggest school, taking on too many large and complex objectives in a single year will make your plan unmanageable.

## SELECTION AND SEQUENCE OF PRIORITIES

Your first task is to identify items on the list which can be discarded, at least for the time being, because they are clearly of lower priority than the rest or because there is little you can do about them at the moment. After that, you need to look carefully at the rest and consider:

- Urgency, need and desirability. Some, like the legal requirements of the National Curriculum, are unavoidable. Some are urgent, in the sense that delay would make matters worse. Others, even if they are agreed to be of great importance, need not be tackled in the first year; they may even benefit from longer preliminary investigation. Others again, though clearly desirable, may simply have to join the queue.
- Size and scope. It is best to limit the scope of each objective to something that can be implemented during a single year. Those larger priorities, such as the National Curriculum or cross-curricular provision, which need to extend over two or more years are best broken down into smaller annual targets.



Those which are so small in scale that they can be implemented without much difficulty and involve only a few people are sometimes omitted from the plan so that it can focus on major innovations. On the other hand, it is often the small changes, unique to your own school, that give your plan its individual character. If you decide to include them, this can make it easier to allocate tasks fairly among staff and it may also produce a greater sense of success when some priorities are implemented quickly. Only the school can decide.

Estimating size and scope is easier if preliminary estimates have been made of the projected time-scale for each priority, the amount of work and resources required and the number of people who would need to be involved. Making such judgements is important if you are to make a sensible decision about the number of objectives the school can tackle in any one year.

- **Firm foundations.** Some objectives, however urgent or important they may be, are dependent on other changes being made first. Strong foundations to support many aspects of the development plan are provided by, for example, good communication, a well-organised staff development policy, or a history of collaborative work among the staff. When such foundations are lacking, the planned innovations will not succeed.
- **Possible links.** Schools frequently choose a relatively diverse set of objectives in any one year so that new developments are spread across a wide range of the school's work and it becomes easier to involve the whole staff in the action plans. Where possible, though, it is worth looking for objectives that are interrelated, to promote greater collaboration and a stronger sense of purpose. A secondary school, for example, might look for a common priority, such as new teaching styles or links with industry and business, which would integrate with different initiatives such as TVEI, records of achievement and the introduction of the National Curriculum.

In the light of all this, the competing objectives have to be fitted into a sequence that is both logical and manageable. Two illustrations of how individual schools have tackled the process are given in Reference Section K.

## DRAFTING AND AGREEING THE PLAN

The earlier booklet ( p10) suggests a format for the plan. It should be quite short - four or five pages perhaps - and concentrate on broad principles; the detail will come later, in the action plans.

Space must be found, however, to justify the objectives and timescale you have chosen, in the context of your school. This is because the highest possible level of agreement about the plan among governors, head and staff will be vital, if the necessary commitment and collaboration are to be mobilised. Consensus requires consultation; it is most likely to be achieved when there is shared understanding about the reasons for the choice and sequence of priorities and a shared conviction that the plan is manageable. An explicit written rationale for the plan helps people to reach agreement on it.

REFER TO BOOK 1

## PUBLICISING THE PLAN

Once the development plan has been approved, you should give it wide publicity. Both parents and pupils have a right to know where the school is directing its immediate efforts; they may also need to understand why other desirable developments have had to be postponed.

## WHAT ABOUT OTHER SORTS OF PLANNING?

Schools face pressure on two fronts. The first is the pressure to change. They cannot remain as they were if they are to benefit from recent reforms. The second pressure is the need to preserve existing strengths. Schools need to maintain some continuity with their previous practices and make sure they continue to do well all the many important things that are not being changed by recent legislation. Leaving development aside, maintenance of normal activities requires at the very least the planning of the curriculum and of the finance and INSET to meet its demands. Development planning is something different and it does not remove these other needs. But it cannot exist in isolation: "The development plan shapes all aspects of a school's planning and needs in turn to be influenced by them." Please re-read 1, pp 12-13.

REFER TO BOOK 1



# WHICH ROUTE SHALL WE TAKE?

## ACTION PLANS

"Once the (development) plan is agreed, it needs to be turned into more detailed action plans with specific targets for the following year. These are the working documents for teachers. Turning priorities into action plans means working out how to implement them and monitor the success in implementation." (1, p11)

The hardest part of development planning is making things happen: turning good intentions into something that makes a difference to the quality of pupils' learning. For this you need an action plan - a convenient short summary of what has to be done. The better the quality of the action plan, the more likely it is that implementation will proceed smoothly and successfully. So it is worth making time for the thought and discussion needed to construct an action plan of good quality.

It is often a good idea to have your action plans displayed on the staff-room notice board and tick off progress as you go along. This sustains the motivation of the team and keeps colleagues informed about progress.

Most importantly, however, before the implementation begins, the head should discuss the targets and success criteria with the governors.

This chapter gives advice on:

- What an action plan consists of.
- Preparing to measure success.
- How the action plan is drawn up.

## WHAT IS IN AN ACTION PLAN?

The action plan is a working document which describes, very briefly, the programme of work to be undertaken on a particular objective. It contains:

- The objective as described in the development plan.
- The specific targets for the objective.
- The success criteria which specify outcomes and the standard to be expected.
- The tasks to be undertaken to reach each target (these may be attached as an appendix).
- The time-lines and allocation of responsibility for targets and tasks.
- The dates for meetings for progress and success checks.
- The resource implications (materials and equipment, finance, INSET, etc)

Please re-read *Planning for School Development*, p 11, for the relationship between objectives, targets and tasks.

## PREPARING TO MEASURE SUCCESS

It may not be clear why success criteria need to be so prominent at this stage of planning. Could they not wait until the plans have been carried out?

The first answer must be that evaluation of what you have achieved needs to go on all the time, not just at the end. It is not simply a matter of finding out, afterwards, whether you achieved your objectives. You also need to know, before it is too late, whether your preparations were sound and, whether you are on the right track and on schedule.

There is a second, more important reason. It is obvious that your targets need to be defined before you start, so that you know what you are aiming for. But setting targets only makes sense



if you also have a clear idea of what is to count as success in achieving them. For example, in the primary school illustration in Reference Section L, one of the targets was to involve parents more closely in children's reading and the chosen means of doing this was to arrange workshops' and a book-fair. The success criteria included the level of parental attendance, subsequent changes in the borrowing of library books and improvements in the children's reading skills and attitudes.

Success criteria and performance indicators Reference Section M help you to answer the fundamental question: "Has the quality of educational provision and pupils' learning actually got better as a result of our efforts?" They should suggest the standard you hope to achieve; the minimum that you would regard as acceptable; and the evidence you will require in order to be sure that the targets have been reached, in full or in part.

## DRAFTING THE ACTION PLAN

Once the development plan has been agreed and approved by the governors, each objective is handed to a group or team who take responsibility for planning how to put it into effect. (In a small primary school, the team may well consist of the whole staff.) These "action plans" must be practical guides to action, not vague statements of intentions.

Reference Section L describes the discussions that took place in two schools as teams produced their action plans. Note that the essential items were discussed in reverse order.

First, then, you need to consider the targets you will set and the success criteria you will use. The two go hand in hand. Thinking about the success criteria helps define the targets; thinking about the targets helps define the success criteria.

The success criteria provide the basis of the success checks that will be carried out as the work proceeds.

Once the targets and success criteria have been defined, at least provisionally, the team moves on to planning how to meet these. The targets are broken down into concrete tasks for groups or individuals within a chosen time-schedule. Progress checks need to be planned at the same time, to take place at regular points during implementation, usually at team meetings. They will allow you to assess whether tasks are being completed, standards met and time-schedules observed: in short, to answer the question "How is it going so far?" They will also help you to see where some change in tactics is needed - as it surely will be - to overcome unexpected obstacles.

Once the targets and how to meet them have been sketched in outline, the team considers preparations: the initial tasks and basic requirements needed to carry the work forward. The resources - finance, materials, INSET etc - must be on hand or planned to be in place at the appropriate time. Readiness checks are the means of monitoring whether these preliminary steps have been taken.

You are now in a position to write the plan down, listing the various jobs in the order in which they will have to be done. The examples in Reference Section L show what a finished action plan might look like, and the sort of aide-memoire that might be produced to accompany it.

## MEETING THE TARGETS

### MAKING THE PLAN WORK

"It is easier to construct a development plan than to implement it." (1,p14)

However good your planning has been, it is not enough simply to let everyone 'get on with it' and wait for a successful conclusion. The first booklet gives practical advice on some of the things that have to be done while you are putting your plans into effect. They include:

- Sustaining commitment
- Checking Success
- Checking progress
- Taking Stock
- Overcoming problems
- Reporting Progress

Please re-read *Planning for school development*, pp 14-17.

5

REFER TO BOOK 1

REFER TO BOOK 1



One thing that emerges clearly as implementation proceeds is the importance of teachers' professional judgement. All development planning depends upon an accurate and honest evaluation of progress and success. It requires a refined professional judgement and at the same time presents an opportunity to enhance it. The present chapter considers what may need to be done.

## PROFESSIONAL JUDGEMENTS

In the course of their everyday activities, teachers are constantly monitoring and evaluating their own actions and the behaviour and work of their pupils. As a new teacher, you may have done this as a deliberate activity; with experience the appreciation of what is going well or badly, and of how you should respond, becomes almost automatic. If you are to cope with the complexities of the work, this intuitive professional judgement is an essential skill.

When you are not entirely confident of your intuitive judgement, and especially when the issue is of great significance, you check by investigating further and reflecting on the evidence before deciding what to do. You make a considered professional judgement.

Both intuitive and considered professional judgements are called for in evaluating the progress and success of a development plan. But they may not be sufficient on their own. Innovations create new working circumstances with which, as teacher, you are less familiar. Since you naturally want the innovation to succeed, there may be an unintentional bias towards noticing the most favourable evidence. So your professional judgement may be less trustworthy than usual.

It can be *extended*, however:

- Through discussion with others about the extent of progress or success in implementing a priority.
- By establishing agreement on standards used to make judgements.
- Through mutual observation in the classroom.
- Through the use of informed opinion.

It can also be *complemented* by additional evidence, derived from:

- Systematic observation of pupils' work and behaviour.
- The properly recorded views and opinions of others.
- A study of teachers' records and pupils' written work.
- Formal assessments of pupils' work.
- Analysis of statistical information.
- More formal research.

More detailed guidance on refining professional judgements is provided in Reference Section N. Enhancing the quality of teachers' professional judgements in these ways.

- Allows success checks of high quality to be made when work on a target is completed.
- Makes it easier to report fully to governors, parents and the LEA on the outcomes of the development plan.
- Enhances decision making.
- Guides the construction of the following year's development plan when taking stock.
- Provides ways of linking the school's internal monitoring and evaluation with the monitoring and evaluation of the LEA's officers, inspectors and advisers.
- Links the professional development of the individual teacher to the development of the school as a whole.

Above all, it

- IMPROVES THE QUALITY OF TEACHING AND STANDARDS OF LEARNING.  
And that, after all, is the purpose of PLANNING FOR SCHOOL DEVELOPMENT.

## REFERENCE SECTION



# A

## DEVELOPMENT PLANNING – THE BY-PRODUCTS

The main purpose of a development plan is to turn plans into reality and so directly benefit the quality of education which the school provides.

But there are by-products too. These arise not from the content of the plan but from the process of working together to construct it, put it into effect and judge its success. This process should lead to:

- Improved understanding, communication and co-operation among governors, head and staff and the school's partners;
- Better staff development which links individual professional development with institutional improvement;
- Raising expectations about what ought to be achieved and what can be achieved in the school;
- A growing commitment to improving the quality of teaching and learning;
- Greater confidence of governors, head and staff, and of the school's partners, in the work of the school.
- Improvement in the skills of governors, head and staff in:
  - Recognising and building on strengths.
  - Assessing and remedying limitations.
  - Planning and executing change in manageable steps.
  - Devising systems of quality assurance that link accountability to school improvement.
  - Deploying the talents and dedication of all involved through collaboration.

It should also help to transform the whole climate of the school by promoting a shared vision for its future, giving every teacher some opportunities for leadership, and generating the commitment and confidence which spring from success. Indeed this is one of the ways of promoting a shared vision that actually works. Over time, this change of ethos can be a very good indicator of the quality of development planning, the aim of which is the well-managed school with confident teachers who know that their pupils attain the highest standards of achievement.

# B

## EFFECTIVE MANAGEMENT

If development planning is to have direction and purpose, it requires clear management frameworks within which action for change can take place.

Establishing frameworks for governors, head and staff means:

- Turning aims and goals into brief, written policy statements that provide unambiguous guides to action.

Written policies -

- Explicitly link aims to action.
- Save time and ensure consistency of approach.
- Ease the induction of new staff.
- Help the school to explain what it is doing.
- Clearly distinguishing strategy from tactics. Don't get distracted by tactical details until the strategy is clear; do not abandon a strategy just because a particular tactic does not work.

A strategy -

- Defines the goal to be reached.
  - Outlines the main pathways for reaching it.
  - Sets out a time-frame.
  - Estimates the costs in time, money and people.
- Tactics are the detailed operational activities required to put the strategy into effect.
- Ensuring that every meeting has a clear purpose and terms of reference.  
(see Reference Section H)



- Keeping permanent committees to a minimum and creating working parties or 'task groups' with a short, fixed life.
- Being prepared to put an end to some existing activities to make room for new commitments
- Deciding who needs to know about what, and when - and then ensuring that they do.

## CO-ORDINATED PLANNING

A school development plan focuses attention on planning: not just planning for change but all the planning which is needed each year whether major changes are envisaged or not.

The danger is that everyone may be so pre-occupied with innovation that planning for normal activities is neglected.

The obvious answer (though easier said than done) is to map out a 'planning timetable' which covers everything that needs doing. The school development planning cycle, which in theory can begin at any time of the year, will need to be meshed in with all the other sorts of planning, whose timing may be less flexible.

**Step 1:** Identify the various planning cycles:

- School development planning.
- Regular school cycles - staffing, curriculum, finance, assessment; meetings of the governing body, parents, staff.
- LEA cycles - returns to the LEA, annual curriculum return, GEST bids, education committee and consultation meetings.
- Cycles requiring inter-action between school and LEA - finance, inspection and monitoring, INSET.

**Step 2:** For each cycle, list the essential steps: "What needs to be done, by when, and by whom?"

**Step 3:** Divide each list into those items which occur at fixed points in the year and those whose timing is more flexible.

**Step 4:** Fit the fixed points into place on a skeleton timetable.

**Step 5:** Distribute the remaining items through the year to spread the workload and provide the best fit with fixed points.

Some schools prefer a shorter cycle than a year; others have a fifteen-month cycle, so that the third term of implementation overlaps with the term of audit and construction for the next cycle. Yet another variation is to plan two terms of implementation followed by one term of review.

### THE PRICE OF FAILURE

- Decisions made in one area pre-empt decisions in another. You cannot provide resources for a new development, if a budget has been fixed which makes no allowance for it.
- Essential planning in one area is held up because decisions have not yet been taken in another eg, deployment of staff for the coming year cannot be settled if major questions about the shape of the curriculum are unresolved.
- 'Planning overload' at the busiest times of year means that important decisions are either rushed or delayed.

## THE ROLE OF THE GOVERNORS

Each governing body must decide for itself how fully it should be involved in development planning. Some devolve almost everything to the head and the teachers. Others confuse their own responsibility for broad policies and finance with that of the head and staff for the day-to-day running of the school. Neither extreme is desirable. Governors need to remember that, however keenly they may feel about particular objectives, the active and critical support of teaching staff is required if development is to succeed. There are, nevertheless, important contributions governors can make.

Governors, head and staff need some shared understanding of what the school is trying to achieve and of how it is setting about it. There are a number of ways of doing this:





- The chair of governors and the head deliberately place educational issues on the agenda of governors' meetings in order to keep governors abreast of current debates.
- Agendas and briefing papers are written in 'jargon-free' language which everyone can understand.
- New governors who may be unfamiliar with the school are allocated mentors, another governor and member of staff, who are responsible for their induction.
- Governors are 'linked' to curriculum leaders and heads of department.

Governors should contribute to a review of the school's strengths and weaknesses. Their comments on the strengths of the school help the head and staff to take pride in its achievements and make it easier for them to face the challenge of undertaking new developments. But they should also share frankly with the head and staff what they see as the school's weaknesses, especially those identified by parents and the local community.

Governors will have views about priorities for development in the first and subsequent years. So too will the staff. It is usually the head's job, after discussion with both, to prepare a draft development plan. Once the plan has been approved by the governors, the head will lead the staff in turning it into a series of action plans and putting those plans into practice.

Governors may be involved in implementation. Governors have some statutory curriculum duties in relation to sex education, health and drugs and religious education, but will also have a contribution to make in other areas. Examples are:

- Improving links with local industry and commerce.
- Improving liaison between teachers and parents.
- Improving the school's image in the local community.
- Organising resources for some aspects of the school's work.
- Giving help with management training or financial planning.
- Checking local and parental reactions to recent changes.

Governors will wish particularly to know about the outcomes of the plan. Wherever possible, they should see for themselves the changes and improvements in the school which have arisen directly from the implementation of the plan. They can best do this by involving themselves in the work of the school in practical ways.

## WORKING TOGETHER

Working together on development planning means:

- Clarifying the key responsibilities of governors, head and staff in each phase of the planning.
- Valuing the distinctive contributions of each individual.
- Involving all staff in the management of the school.
- Recognising that for some tasks horizontal teams (across subjects, departments and year groups) may be more creative than 'vertical' (or hierarchical) management.
- Seeking agreement about priorities — among the staff, who may have different views about what the school should tackle first — between the head, staff and governors.
- Promoting new forms of collaboration between teachers to support both the work of the school as a whole and the work of individual teachers in classrooms.
- Establishing a partnership with LEA advisers/inspectors.
- Linking individual development to institutional development.

(see Reference Section F)

Collaboration:

- Creates a commitment to a common purpose.
- Improves communication and reduces misunderstanding.
- Fosters creativity in finding solutions to problems.
- Enhances motivation and makes the task more enjoyable.
- Prevents individuals from becoming isolated.
- Generates a sense of collective achievement.



- Supports team work.  
The right climate for collaboration is created when everyone:
- Is open about the planning and management of change.
- Gives development planning the time and status it needs.
- Draws upon the experience, talents and ideas of others.
- Is willing to learn from experience.
- Teamwork leads to better decisions and speedier completion of work, because expertise is pooled and tasks are shared. The team leader has a key role in managing the work of the team and in promoting a team spirit. She or he should ensure that:
- Members are clear about what needs to be done, the time scale involved and who is to do what.
- Members feel that they have a unique contribution to make and that their talents are well used.
- There is a climate of trust and mutual respect among members.
- The free expression of ideas, suggestions, doubts, fears and reservations is encouraged.
- Members are able to discuss alternative approaches and solutions before taking decisions.
- There are established ways of working together which make efficient use of people's time.
- Progress is checked regularly and members know to whom they should report, and when.

## STAFF DEVELOPMENT

Until recently few schools have had written policies for staff development, or a co-ordinator (or committee) with responsibility for its planning and evaluation. Previous policy tended to focus on the professional development of individual teachers attending INSET courses by choice. The weaknesses of such an approach are:

- Staff may receive inadequate advice on their professional development.
- INSET is a matter of individual choice, so some staff get much more and some get little or none
- Professional development and INSET are often not related to the needs of the school.
- Most INSET takes place outside the school.
- The outcomes and gains of individual professional development are not necessarily shared within the school.

The growth in school-focused and school-based staff development, the existence of professional training days and the experience of appraisal schemes are beginning to lead to better policy and practice for staff development.

Development planning builds upon this trend in the following ways:

- The plan focuses on the school's needs and professional development required to meet these.
- Appraisal schemes provide links between individual needs and those of the school as a whole.
- Every teacher is seen to have rights to professional development, so there is a more equitable distribution of opportunities for INSET.
- Since professional development is directed to the support of teachers working on agreed topics (the targets and tasks), the knowledge and skills acquired through INSET are put to immediate use in the interest of the school.
- Staff who undertake INSET have a framework for disseminating their new knowledge and skill.
- There is improvement in the design and use of professional training days.
- Information on external courses is collated and checked for relevance to the school's needs.
- School-based INSET and external courses are used to complement one another.
- Staff development is included in the school's budget





# THE ROLE OF THE HEAD

The head plays the most important role in getting the management right. It is likely to be most effective when the head:

- Has a mission for the school.
- Inspires commitment to the school's mission, and so gives direction and purpose to its work.
- Co-ordinates the work of the school by allocating roles and delegating responsibilities within structures that support collaboration.
- Is actively and visibly involved in planning and implementing change, but...
- Is ready to delegate and to value the contribution of colleagues.
- Is a skilled communicator, keeping everyone informed about important decisions and events.
- Has the capacity to stand back from daily life in order to challenge what is taken for granted, to anticipate problems and to spot opportunities.
- Is committed to the school, its members and its reputation, but...
- Objectively appraises strengths and weaknesses so as to build upon the best of current practice in remedying deficiencies.
- Emphasises the quality of teaching and learning, lesson by lesson and day by day.
- Has high expectations of all staff and all pupils.
- Recognises that support and encouragement are needed for everyone to give of their best.

## MAKING MEETINGS EFFECTIVE

Development planning involves meetings of all kinds and they all use that precious commodity - time.

Meetings need not always be formal occasions at which a group of people discuss business prepared on the basis of an agenda, with supporting papers. A short discussion between two or three teachers over coffee at break is also a form of meeting and it can be just as valuable.

### Meetings - a few guidelines

- Keep *formal* meetings to a minimum: use the informal kind unless there is a good reason for greater formality.
- Make sure that a meeting or working group has, from the beginning, very clear terms of reference to keep discussion to the point.
- Make the membership as small as possible for the meeting to discharge its responsibilities: the larger the meeting the more difficult it is to fix times when all will be present.
- Choose the right people to be members - those who can best contribute to the task, rather than those who need to know about the outcomes of the meeting, which is a matter for communication later.
- Choose the person who can chair the meeting most effectively - not necessarily the most senior member.
- Fix the finishing time before you start. This concentrates the mind on the business, inhibits diversions and prevents the meeting dissolving by early departures.
- Where minutes need to be kept, decide what needs to be recorded and reported and make sure the minutes are short and clear. Use an 'action column' to record who is going to do what before the next meeting.
- Provide copies of these brief minutes only to those who need to know or are known to be interested. If unsure, ask who wants the minutes rather than sending them to everyone.
- Avoid setting meeting times which conflict with other commitments of members.
- Choose a location and furniture arrangement appropriate to the kind of meeting required.
- When a meeting has to report to a larger meeting, plan carefully to fit into the cycle.



# THE AUDIT: CHOOSING A STRATEGY



An external perspective on the school may be provided by HMI, LEA officers and advisers/inspectors, Training Agency staff, consultants from higher education and 'critical friends'.

## **Strengths:**

- Provides a dispassionate view, and a chance to talk through problems with outsiders.
- Limited time scale reduces demands on staff.
- Confirms successes as well as highlighting weaknesses.
- May bring in new ideas and encourage staff to question what they take for granted.

## **Limitations:**

- Timing may be inappropriate.
- May have a focus different from the school's main concerns.
- Does not necessarily, on its own, lead to development.
- Depending on length and expertise, may miss inner strengths.

A published scheme such as the GRIDS (Guidelines for Review and Internal Development in Schools) handbooks, now distributed by the National Curriculum Council (NCC), can accommodate a variety of audit strategies. Some schools find it easier to start with a published scheme but later modify it or devise their own. The NCC's Curriculum Guidance Number 3: The Whole Curriculum contains advice on conducting curriculum audits.

## **Strengths:**

- Usually canvasses views of each staff member.
- Is designed to be as comprehensive as you need.
- Is less time-consuming than devising your own approach.
- Is seen as objective and impartial.

## **Limitations:**

- May neglect the individual context of the school.
- Implicit values of the schemes are not always apparent.
- The use of questionnaires may be seen as too mechanical.
- May not do justice to views of pupils, parents, community.

Designing your own approach gives scope for a wide variety of techniques, including: discussions and debate during meetings, conferences and training days; professional development discussions and teacher appraisal interviews; questionnaires; scrutinising documents such as teaching materials and school policies; systematic observation; analysing statistical records; consultation with parents; seeking the views of pupils through discussions with teachers, surveys of their views or the recommendations of the school council.

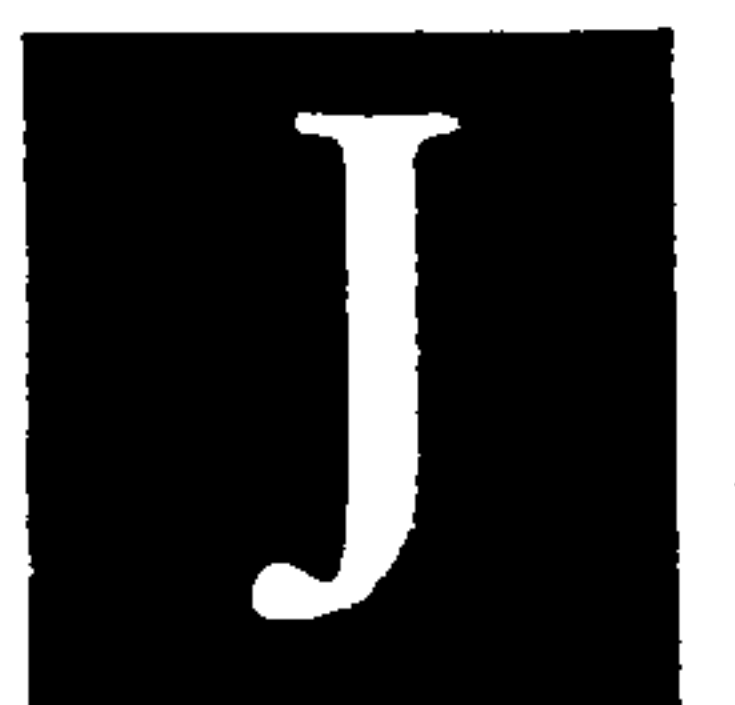
## **Strengths:**

- Generates 'ownership' and commitment to the findings.
- Focuses on what the school itself identifies as important.
- Can be planned to fit into the normal work of the school.

## **Limitations:**

- Requires considerable staff time and expertise.
- Key questions may not be asked because those in the school did not perceive them as important.
- The validity of the approach may be questioned by those who feel threatened or by those not directly involved.

# THE SCHOOL AND THE LEA



Monitoring (collecting the evidence) and evaluation (making value judgements based on that evidence) are essential features of development planning. At the audit stage, you need to identify the school's existing strengths and weaknesses; during and after the process of implementation you need to know what changes have taken place and to assess their usefulness.

For LEAs also, monitoring and evaluation are essential. They need to know that they and their schools are fulfilling their statutory duties in relation to the curriculum and to assessment. They



must make sure that the management functions now delegated to individual schools are being exercised responsibly. They must identify both strengths and weaknesses, so that support can be directed where it is most needed. Above all they have a duty to ensure, on behalf of the local community, that the resources allotted to education are well used to achieve the highest standards of teaching and of learning. LEAs and their officers, advisers and inspectors already monitor and evaluate schools by reviews and inspections, and many LEAs are developing new approaches to such work.

Monitoring and evaluation are most effective when there is a sense of partnership between the school and the LEA, and the two approaches are integrated to serve the overlapping interests of both. Here are some of the ways in which this can be achieved:

- The timing of reviews or inspections by the LEA is arranged to fit in with the cycle of development planning, so that the LEA contributes at the most appropriate stages.
- The school makes use of data generated by the LEA to help identify future needs and priorities in its development plan; the LEA uses data generated by the school to plan INSET as well as to contribute to the LEA development plan.
- Experienced officers, advisers and inspectors share their skills in monitoring and evaluation with the school, to improve its capacity to judge its own performance.
- Any differences in purpose between self-evaluation by the school and monitoring and evaluation by the LEA are clear and openly acknowledged.
- The basis of the LEA's judgements, including any use of statistical indicators, is made public and is open to debate.
- There is a shared agreement that monitoring and evaluation are in part about accountability (to governors, the LEA) and in part about helping the school to improve itself.
- The LEA uses the outcomes of all kinds of monitoring and evaluation to improve the quality of support it provides.
- 'Quality assurance' is used to celebrate and publicise the school's achievements and strengths.

A danger to be avoided is that the LEA 'validates' the process of self-evaluation, perhaps by joining in discussions and checking on procedures and documentation, but fails to validate the findings. The single most useful contribution of the LEA is to make, and make known, a genuinely independent assessment of the school's strengths and weaknesses based on first-hand observation of the learning in which pupils engage and the standards they achieve.

## CONSTRUCTING THE PLAN: TWO ILLUSTRATIONS

Establishing priorities. A primary school has identified a number of possible priorities for development - more than it can cope with in a single year. It must decide which ones to tackle first.

Taking each possibility in turn it asks four questions:

- How urgent is it? You cannot avoid the unavoidable.
- How big a job will it be? Limit the number of major tasks.
- Is there a foundation already in place? If not, the task must be staged or its scope increased.

Are there natural links with other priorities? If so, make the most of them: "two birds with one stone" saves effort.

Setting out the answers in the form of a chart of the kind opposite helps in reaching a decision. It also makes it easier to explain to everyone why some things they see as vital must wait a little longer.

# CHOOSING PRIORITIES

ISSUES AFFECTING CHOICE	POSSIBLE PRIORITIES	Language	Assessment and record keeping	Home/School partnership	Staff Appraisal	School Environment and Playground
	Unavoidable	NC Requirements for English	National Requirements			
	Urgent			Parents concern over NC to be addressed		
	Desirable				Should help professional development	Pupils see as highly desirable
	Large size and scope		Audit suggests much work needed			Potentially expensive and slow
	Small size and scope	Language policy and practice developed over 2 previous years		Improving home newsletter and meetings for parents	Staff identified this in audit and are keen to make it work.	
	Strong Foundation	Guidelines on language already exist			Policy for staff development has recently been improved	Some work already done
	Weak Foundation		Weak, but good collaboration between staff will assist.	Parental attendance at meetings is variable		
	Strong links to other objectives	Important to develop link with assessment	Link to language as first step	Use to help parental involvement in language	Will support first two priorities	
	Weak links to other objectives					Indirect, via improved morale.

The sequencing of priorities between years is illustrated by the development plan of a secondary school. Essential foundations are established early on, for planned developments that will follow.

YEAR 1			YEAR 2			YEAR 3		
TERM 1	TERM 2	TERM 3	TERM 1	TERM 2	TERM 3	TERM 1	TERM 2	TERM 3
◀ NC SUBJECTS ▶								
CROSS-CURRIC POLICY ▶	HEALTH ED CAREERS ED ▶	ENVIRON. ED CITIZENSHIP ▶	ECONOMIC & INDUSTR. UNDERSTANDING ▶					
RECORDS OF ACHIEVEMENT ▶			ASSESSMENT & RECORDING ▶					
ATTENDANCE ▶	PSE PROGRAMME ▶	SCHOOL-INDUSTRY LINKS ▶						
◀ STAFF DEVELOPMENT POLICY ▶								

The National Curriculum will be implemented continuously in accordance with the national timetable, beginning with the core subjects. Each department will construct its own action plans, with a deputy head co-ordinating work between departments.

Work on cross-curricular provision will begin with a working party whose task is to formulate a policy (aided by the NCC's Curriculum Guidance No 3, *The Whole Curriculum*) and to suggest how the contributions of different departments can be co-ordinated. The school's best practice at present is in health education and careers education, so improvements here will serve as a basis for the later work on citizenship, environmental education and economic and industrial understanding.

Attendance emerged from the audit as an urgent priority for the first year. The development of a better school policy on this in the first two terms will be followed by improvements to the PSE programme (including equal opportunities), which in turn will complement new work in citizenship and environmental education.

Improving links between the school and local business and industry (in which the governors will play a key role) will serve as a basis for work on economic and industrial understanding in the third year.

The school is already engaged in a local project on Records of Achievement and this will continue alongside work on the assessment implications of the National Curriculum.

Staff development is seen as a key priority and an essential foundation for everything else.

Although there were other possible objectives meriting a place in the three-year programme, some space has been deliberately left so that the plan can be revised after the first year in the light of experience and possible new demands.



# ACTION PLANNING: TWO ILLUSTRATIONS

## A PRIMARY SCHOOL

The primary school in Section K chose 'improving our partnership with parents' as one of its objectives. As this is a three-teacher rural primary school, the action plan was drawn up by the whole staff at an after-school meeting. Mrs Green accepted the role of team-leader.

It was soon agreed that the aim was so broad that it would take years to achieve in full. The first year's work would be no more than a start; but it must have targets that were quite specific, not just cosmetic.

The head (Mrs Morgan) reported that the governors felt the partnership should be focused on children's achievement. The staff said it should be linked to known parental concern about the impact of the National Curriculum and the school's recent work on language. The targets should therefore be a vehicle both for improving home-school relations and for enhancing pupils' reading skills.

Mrs Green felt that they knew too little about parents' views on greater involvement in the work of the school, so it was agreed that the first target should be a survey of parental views. Mr Robinson suggested a questionnaire, but the others felt that many parents might not respond. A special meeting with parents was proposed, but it was agreed that with so vague a purpose many would not bother to attend. So it was decided to gather parents' views less formally, during their visits to school or at the school gates. They enlisted extra help from the school secretary and the Education Welfare Officer.

They agreed to ask parents for their views on three topics:

- Whether they would like to join a class activity; and, if so, when they would be available.
- What they would like in the way of social events, meetings and curriculum workshops.
- What contribution they felt they could make, at home, to their child's education, especially with reading, and how teachers might help and support this.

This first target would take one term to complete. Parent-governors would assist in planning.

The second target would be to develop a home-school reading policy as an extension to previous work on a language policy.

Target two would also require:

- A special newsletter to parents on the language aspects of the National Curriculum and the role they could play through reading to children and listening to their reading at home.
- A review of the school stock of books suitable for home reading.

The third target, the most important, would be the involvement of parents in reading. This would entail:

- 'Workshops' for parents (separately for each of the three classes). In each class there would be one workshop during the day and one in the evening. As far as possible the day workshop would be fitted into normal classroom activities. The school's adviser and parent-governors would help with the design of these as well as in the events themselves if possible.
- A 'book fair' to which a book publisher or seller and the local library would contribute, to encourage parents to buy and borrow books in addition to those available from the school.
- A series of articles in the local paper extolling the virtues of home reading and mentioning suitable books.

The team then considered the success criteria for each target. For the first, one key criterion would be quantitative: how many parents responded to the informal questions about their views. Another would be the quality of their response. This indicated that the questions would need careful thought: they would have to seem important and relevant to parents; to be framed in such a way that parents felt pleased to be asked; and to win support for greater involvement as well as merely providing information for the staff. As Mrs Morgan observes, "How we ask is as important as what we ask".

For target two, the adviser would judge the quality of the home-school reading scheme. The quality of the newsletter would be judged by parent-governors and the reaction of parents. A short discussion about the criteria for reviewing and improving the book stock indicated that more time



was needed for this. Success criteria for this would be devised during the task itself: the adviser might be able to help here.

The success criteria for the workshops and book fair would be:

- The level of attendance and response of parents.
- Subsequent changes in parental behaviour - borrowing of books and the extent of home reading: evidence to be drawn from pupils' accounts during normal classroom activities.
- The impact on pupils' attitudes and skills in reading, judged by classroom observation and records. Before setting a specific target for improvement, a careful assessment of the present position would be needed to provide a base-line.

The team then drafted the action plan and Mrs Green agreed to produce an aide-memoire of tasks, with dates for completion, to help with readiness and progress checks.

### Action plan for home-school partnership

Priority: to improve our partnership with parents and to devise a home-school reading scheme.

**Target 1:** Survey of parents' views during first term.

Success criteria: (i) number of parents responding; (ii) quality of response to each of the three main issues in the survey (details to be decided after questions are framed).

**Target 2:** Write policy for home-school reading, inform parents of it through newsletter and review book stock, also in first term if possible

Success criteria: (i) adviser to judge quality of policy; (ii) judgement of parent-governors and reaction of parents to newsletter; (iii) review of stock to be defined during the activity.

**Target 3:** Involvement of parents in the workshops and book-fair and in the home-school reading scheme, to improve pupils' reading skills and attitudes to reading; publication of articles in local newspaper (second or third term, depending on progress).

Success criteria: (i) attendance of parents and their response to the workshops and book fair; (ii) changes in parental behaviour judged by borrowing of books and pupils' reports on home reading; (iii) changes in pupils' attitudes to reading, judged by observation and increase in reading skills; (iv) more community involvement in reading, judged by comments to staff and parent governors.

Time: three terms

Dates: Progress checks - by all at each meeting

Success checks - Mrs Green as appropriate.

Resources:

- a Money for new book stock.
- b Cards to record parents' views as collected.
- c Money for special edition of newsletter.
- d Resources for the workshops and book fair.

Co-ordinator: Mrs Green

### Aide-memoire for home-school partnership

Preparations (initial tasks)

- a Contact parent-governors to discuss the priority and obtain support (Mrs Green).
- b Contact adviser for her views and active support in the book fair and workshops (Mrs Morgan).
- c Obtain support of secretary and EWO (Mrs Morgan).

Routes (tasks)

- a Draw up questions for parents (Mr Robinson).
- b Design cards for recording parents' views (Mr Robinson).
- c Check on whether all parents involved in the survey (Mrs Green).
- d Frame success criteria for judging quality of response to survey (Mrs Green).
- e Draft policy for home-school reading (Mrs Green).
- f Arrange discussion of policy with parent-governors and colleagues (Mrs Green).
- g Discuss quality of policy with adviser (Mrs Morgan).
- h Prepare newsletter (Mr Robinson with parent-governor).
- i Review book stock (all).
- j Decide criteria for new stock (all).
- k Plan workshops (Mrs Green).
- l Plan book fair (Mr Robinson).
- m Run workshops and book fair (all).
- n Prepare extracts from newsletter for publication in local newspaper (parent-governor).
- o Check attendance and parents' reactions to these events (all).
- p Observe pupils' attitudes to reading (all).
- q Record extent of book borrowing (all).
- r Ask pupils about home reading (all).
- s Check changes in reading levels (all).
- t Collate evidence from p,q,r (Mrs Green)

Destinations (targets)

For targets, see Action Plan

Final report: Mrs Green. (The final report would also contain suggestions on possible next steps in home-school partnership arising from the survey.



The secondary school in Section K took attendance as one of its objectives in the first year: it was defined as "to improve pupil attendance in the school as a whole and especially among older pupils". A senior member of staff was given overall responsibility. Three other teachers and a parent-governor agreed to join the team. At the first meeting the team agreed on three main targets and their success criteria.

**Target 1:** Pupil attendance, especially among older pupils, should improve within the two terms allowed for this project.

Success criterion: Degree of improvement in term 2, compared with corresponding term in previous year: to be judged through analysis of attendance by year group and class.

**Target 2:** There should be a written policy on attendance.

Success criterion: The policy should be of high quality and written by half-term in the first term.

**Target 3:** The policy should command the support of teachers, parents and pupils.

Success criterion: The degree to which the policy is accepted and in force by the end of the second term. The team next considered tasks and progress checks for each target.

Target 2 was considered first. To get a better idea of what an effective policy might look like, it was agreed that one member of the team would attend a relevant INSET course: all five would visit a school with a similar intake but better attendance, to discuss policy and practice: the LEA's adviser would be asked to comment on the first draft in the light of her knowledge of what worked elsewhere. Dates for meetings to write the policy were agreed, and progress checks planned for each of the tasks.

For target 3, getting the policy agreed, it was decided to:

- Devote a professional training day to the issue, with governors and parents present for part of the time.
- Get teachers to explain and discuss the proposed policy with pupils in their classes before it was finally agreed.
- Seek formal adoption at a subsequent governors' meeting and a staff meeting.
- Include in the school's newsletter an article by the parent-governor commending the policy.

How far the policy genuinely commanded the support of teachers would be gauged before its formal adoption, by informal discussions over coffee between team members and named members of staff; the views would be pooled at a subsequent team meeting. The best test of acceptance by pupils and parents would be the degree of improvement in attendance. Appropriate progress checks were agreed.

Finally, the team looked at preparations and readiness checks and drew up an action plan for the work on attendance and an aide-memoire of tasks, with dates for completion.

## Action plan for attendance

Priority: To improve attendance at the school, especially among older pupils.

**Target 1:** Improve attendance in second term of the project.

Success criterion: Quantify improvement by comparison with previous attendance records.

**Target 2:** Produce a written policy by half-term of first term of project.

Success criteria: (i) meeting of time-schedule; (ii) quality of project - decide criteria later.

**Target 3:** Policy should command support of teachers, parents and pupils.

Success criterion: Degree of acceptance of new policy by teachers, parents and pupils

Time: Two terms

Dates: Progress checks - by all at each meeting.

Success checks - Ms Smith, end of term 2.

## Aide-memoire for attendance

### Preparations (initial tasks)

- a Book and attend INSET course (Ms Smith).
- b Contact adviser to identify school for visit; arrange visit (Mr Jones).
- c Book and plan professional training day (Mrs Brown).
- d Plan space in newsletter (Mrs Thomas)

### Routes (tasks)

- a Visit school (as many as available).
- b Decide success criteria on quality of policy (all).
- c Draft policy (Ms Smith to take lead).
- d Obtain adviser's view on quality of policy (Mr Jones).
- e Professional training day (Ms Smith and Mrs Brown).
- f Check acceptability of policy (all)
- g Present policy to governors (Mrs Thomas)



## Action plan for attendance

### Resources:

- a INSET course for one team member.
- b Time for visit to another school.
- c A professional training day.
- d Space in newsletter to parents.

Team leader: Ms M Smith (who has a detailed note on the tasks involved).

Team members: Mr Jones  
Mrs Davies  
Mrs Brown  
Mrs Thomas  
(parent governor)

## Aide-memoire for attendance

- h Present policy to staff (Ms Smith).
- i Present policy to pupils (all staff, briefed by Mrs Brown)
- j Write article in newsletter (Mrs Thomas).
- k Gain support to implement policy (all).
- l Collect evidence on attendance (all, by rota).
- m Collate evidence and make comparisons with previous attendance records (Mrs Davies).

### Destinations

For targets, see Action Plan

Final report: Ms Smith and Mrs Davies

# SUCCESS CRITERIA AND PERFORMANCE INDICATORS



A performance indicator (PI) is any piece of information that helps you to know how well someone or something is performing. In practice the term is often reserved for factual information (GCSE results, class sizes, attendance figures, costs per pupil) which is fairly easy to obtain and can stand proxy for professional judgement. PIs directly measure something which may or may not be important in itself; they "indicate" - point to - something else that is significant but harder to measure.

A school's GCSE results, for example, measure the standards pupils have reached in public examinations. As PIs, they may provide pointers to the quality of teaching in each subject and the "success" of the school as a whole.

These quantitative PIs, on their own, rarely provide definitive answers to the really important questions, however. The temptation always is to over-value what is measurable, simply because it is measurable. GCSE results may say where pupils have got to in particular subjects at particular times - but not how far they have progressed, how hard it was for them to get there or why they have not got further; still less, what they have gained from school that public examinations do not test.

Despite this, PIs can be a valuable support to audit and evaluation, because of the questions they raise. They draw attention to issues that deserve a closer look. Comparisons between one year and another, between subjects, or with local and national norms, should prompt you to ask three sorts of question.

All three are important.

- Are we (or they) doing as well as could be expected in the circumstances?
- Even if the answer is "yes", are we (they) doing well enough for our pupils in absolute terms?
- If not, what needs doing to change the circumstances, and who needs to do it?

The success criteria used in development planning are distinctive in that they:

- Refer to future rather than past performance.
- Relate to a planned target designed to improve performance.
- Are chosen by the persons who set the target.
- Influence the way the target is designed.

In the context of development planning, performance indicators and success criteria can exert a positive influence on ways of thinking and ways of working. They can:

- Promote desirable goals for schools.
- Suggest standards appropriate to such goals.
- Guide the action needed to achieve agreed standards.
- Distinguish between process and outcome.
- Indicate the evidence needed to judge success.
- Help in reporting success.
- Shape further action if the degree of success falls short of expectation.



# REFINING PROFESSIONAL JUDGEMENTS

Ways of extending professional judgements:

- Discussion with others may confirm your own judgement of the progress made towards a particular target. If it doesn't, the grounds of the judgement should be questioned and talked through. Regular team meetings offer a formal opportunity.
- Agreement on standards is essential. You need to agree on what is to count as success. Teachers tend to measure progress by seeing how much has changed; governors and parents may be more concerned about what remains to be done.
- Mutual observation in the classroom, as part of a team approach or as an aspect of appraisal, can benefit both observer and observed by rooting discussion of professional judgement in a real-life context. Mutual trust is essential.
- Informed opinion, from books and journals, HMI reports, LEA documents or the experiences of other teachers, can provide a useful standpoint from which to reflect on your own practice.

Professional judgements may be complemented by further evidence:

- Systematic observation of pupils, through the course of a day, focuses attention where it belongs: on the actual benefits to pupils' work and behaviour, lesson by lesson.
- The views and opinions of others, eg. LEA advisers, should be noted. Pupils usually respond constructively to a formal request for their reactions, through discussion, written work or a questionnaire. The response should be documented.
- Examination of samples of pupils' written work by a small team of staff may draw attention to the impact of changes in the curriculum or in marking policy; so too may a detailed review of teachers' records.
- Pupils' formal assessment results, including routine test scores, public and internal examinations, National Curriculum assessments, profiles and records of achievement, provide evidence in quantitative form...
- Statistical information collected for the school's own use or for the LEA could serve as evidence on, for example, attendance or some aspect of National Curriculum implementa-

**Paper 14**

**LEASK, M. (1991)**

**Resource File 5**

**Co-ordinating School and LEA Planning Cycles, pp. 131-133**

**Hargreaves, D.H. and Hopkins, D. with Leask, M. (1991)**

***The Empowered School***

***London, Cassell***



## Co-ordinating School and LEA Planning Cycles

As a development plan provides a comprehensive and co-ordinated approach to *all* aspects of planning, it is to the mutual advantage of governors, head, staff and the LEA to work together to create planning cycles which are, as far as possible, compatible and convenient.

Working together to plan coherently requires:

- building a shared understanding of the role of the development plan in the work of the governors, head, staff and the LEA;
- clarifying the constraints on planning that exist;
- identifying all planning activities currently taking place.

There are *school* cycles (e.g. staffing, curriculum, finance, assessment; meetings of the governing body, parents, staff); *LEA* cycles (e.g. returns to the LEA, education committee meetings); *DES* planning demands (e.g. GEST bids, the annual curriculum return, consultation meetings); as well as *school-LEA interdependent* cycles (e.g. finance, inspection and monitoring, GEST, INSET).

Co-ordinating these various planning cycles:

- maximizes the efficient use of time and resources;
- provides coherence to the work of the school and LEA;
- ensures that appropriate INSET is available to support professional development.

Meshing the school development planning cycle – which in theory can begin at any time of the year – with other planning demands is easier when governors, staff, head and LEA officers undertake a *joint* mapping exercise. The purpose of such an exercise is to identify the optimum timing for the school development planning cycle so that all aspects of planning are integrated and co-ordinated.

## A STRATEGY FOR MAPPING AND CO-ORDINATING PLANNING CYCLES

The following strategy is useful for mapping planning issues within the school as well as between the school and the LEA.

**Step 1**

A list is prepared of all the issues which have an impact on the planning process: What is needed, when and by whom?

**Step 2**

The list is then divided into those issues which occur at fixed points in the year and those for which the timing is more flexible.

**Step 3**

Fixed points are taken first and the issues are then mapped out using some flexible method (e.g. a felt board, cards and pins / flip chart, cards and Blu-Tack). Points of conflict are thus highlighted and compromises will need to be reached before proceeding.

**Step 4**

Once fixed points are mapped, issues with more flexible timing are added and distributed through the year to spread the workload and to provide the best fit with fixed points.

Some people find it easier to do this mapping exercise using concentric rings to represent the annual cycle. However, there is a problem in that cycles sometimes overlap. Others prefer to map in a longitudinal way which allows for such overlap. Figures 1 and 2 illustrate these approaches. In practice, some schools find a shorter cycle than a year preferable; others have a fifteen-month cycle with a third term of implementation overlapping with a term of audit and construction for the next cycle. Yet another variation is to plan two terms of implementation followed by one term of review.

As school and LEA practice and terminology vary considerably (e.g. for internal planning cycles, in the timing of financial information, in the allocation of GEST funding, in the role of the development plan in relation to the monitoring and inspection policy), the figures are provided only in outline.

The head, governors, senior staff and officers will decide how best to co-ordinate the different planning cycles and demands on the basis of the planning processes and procedures in their school and LEA. The advantage of such a joint approach is that planning becomes more co-ordinated and integrated to the mutual benefit of all involved.

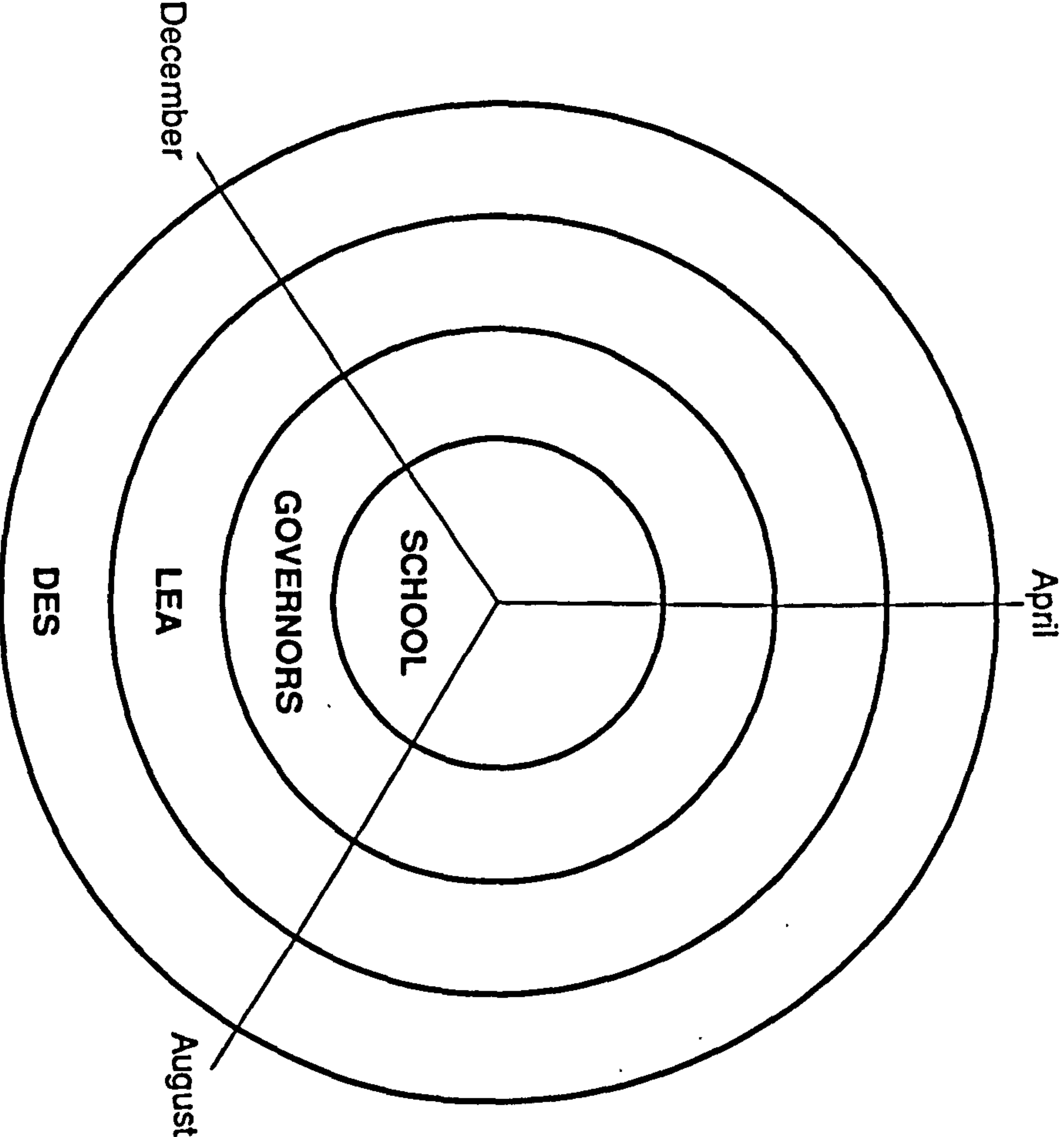


Figure 1 Mapping planning cycles (1)